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ABSTRACT

In January of 1982, the Hennepin County Community Services Department began implementing a day care voucher system which allowed day care clients to place their children in any licensed day care home or center that was willing to contract with Hennepin County. In October of the same year, Hennepin County was awarded a grant by the Department of Health and Human Services to evaluate the impact of the day care voucher system. The focus of the grant and, therefore, of this report was to examine the voucher system in terms of its effect on providers, consumers, and the total day care system. A series of studies was designed to answer two key questions about the impact of the central eligibility voucher system (CEVS): (1) Did the voucher system solve the problems created by the contract-based system? and (2) Did it create new problems for the providers, consumers, or the County? (DST)

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Final Report of the Hennepin County Grant Purchase of Child Day Care Through a Voucher System: An Evaluation and Use of Technology Transfer and Technical Assistance to Enhance Service Delivery

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FINAL REPORT OF THE HENNEPIN COUNTY GRANT PURCHASE OF CHILD DAY CARE THROUGH A VOUCHER SYSTEM: AN EVALUATION AND USE OF TECHNOLOGY TRANSFER AND TECHNICAL ASSISTANCE TO ENHANCE SERVICE DELIVERY

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May 1985

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CHAPTER 1

Introduction

- History

Hennepin County, Minnesota, with a population of just under one million, is the most populous county in Minnesota. It includes the City of Minneapolis and most of the first, second, and third ring suburbs of Minneapolis, together with several rural townships.

The Hennepin County Community Services Department is the largest social services agency in the State, with a 1985 budget of $98,359,466 and a staff of 965.

Subsidized day care first became available in Hennepin County to clients who brought their children to centers that were funded by the Federal government as part of the War on Poverty. As the Federal government moved away from the direct funding of service providers and toward the concept of purchasing services from private agencies through the Title IVA program (and later Title XX), Hennepin County began to purchase day care slots from these same centers. Out of these beginnings developed a day care system that consisted of approximately 20 day care centers located in the inner city that had a contract with Hennepin County to provide a specified number of day care slots. This system gave Hennepin County a good deal of control over expenditures for day care but little control over client access. Parents in need of day care would apply to these contracted centers that would assist them with the application process. Eligibility was later verified by Hennepin County staff.

Problems with the system were:

- Eligible parents were limited to placing their children in one of the approximately 20 inner-city centers holding a major contract with Hennepin County.
- Most of the slots available at these centers were for preschoolers leaving families with older or younger children unserved.
- Family day care was in most cases not an option. Hennepin County did contract with the Hennepin County Family Day Care Association for a very limited number of family day care slots.

- The system served to segregate subsidized children in centers serving low-income children.

- The inner-city centers grew to nearly total dependence on County funding.

- To receive a day care subsidy, some parents, especially those living in the suburbs, were forced to place children in centers located unnecessarily long distances from home.

During the late 1970's as more and more women entered the workforce, the demand for day care expanded. At the same time, the social services dollar was contracting due to Federal and State cutbacks in funding. Hennepin County began to look for ways to stretch the day care dollar and also deal with some of the problems that had developed out of the contract-based system. In January 1982, Hennepin County began a gradual change to a voucher system that was completed by January 1983.

- Description of the Voucher System

Parents apply for their day care subsidy at the County office downtown. Usually, this is done by mail. The parent is responsible for selecting day care from any of 1,782 licensed homes or 158 licensed centers (as of March 1985) that contract with the County. If determined eligible, the parent is provided with a voucher which is an authorization form telling the parent she is authorized to receive day care at the provider she has selected. The copy of the authorization is sent to the provider which bills the County for the full cost of day care (minus the parent fee) up to a maximum. Each day care center bills the County at the rate charged private pay users although this rate does differ among facilities. The County pays family day care providers a flat rate based on a market survey done every two years.

- Evaluation of the Voucher System

In October 1982, Hennepin County was awarded a grant by the Department of Health and Human Services to evaluate the impact of the voucher system. The focus of the evaluation was formative in nature. Thus, as deficiencies in the system were discovered, the resources of the grant were to be devoted to correcting them. Almost immediately, the grant was confronted with a major limitation. As originally

conceived, the implementation of the voucher system was to be gradual and therefore allowed for the use of a control group of clients who continued to apply for and receive their day care through the old contract-based system. However, the phase-in of the voucher system occurred more rapidly and with fewer problems than originally anticipated and was for the most part complete by July 1982, three months before the award of the grant.

The loss of the control group has been a difficulty the grant has wrestled with throughout the life of the project. The evaluation of the voucher system has taken place through a series of quasi-independent studies. In several of these studies, the loss of the control group has been compensated for through the use of data on clients receiving day care before the voucher system was implemented. However, this method has its drawbacks since the data on clients receiving day care before 1982 is very limited. In addition, many changes have occurred in the way Hennepin County pays for day care since 1981 which makes it difficult to determine what effects observed in 1984 can be attributed to the central eligibility voucher system (CEVS) and what effects were independently caused. A brief discussion of these changes and their probable consequences follows:

Hennepin County Policy Changes 1982-1984

1. Effective January 1, 1982 Federal Interagency Day Care Requirements (FIDCR) standards were dropped. Previous to January 1, 1982, day care centers which contracted with Hennepin County were required to meet Federal Interagency Day Care Requirements with regard to their staff child ratios. On January 1, 1982, this requirement was eliminated and centers were only required to meet State standards which were not as stringent as those of the Federal government. Hennepin County encouraged centers to reduce their staff complement, and as a result, the rate the contracted centers charged per child dropped.

2. In July 1983, because of increased use of the day care subsidy, Hennepin County projected that it would incur an estimated $1.2 million deficit without significant change in eligibility criteria. The increase in demand was largely attributed to the change to the central eligibility voucher system. The County made a number of policy decisions that had a significant impact on day care consumers and the entire day care system for the remainder of 1983 and most of 1984. They were as follows:

a. A freeze on new enrollments of training clients was implemented in July 1983 and was not lifted until a year later. This significantly changed the composition of the day care population. This meant that by April 1984, 29 percent of the CEVS clients were receiving day care for training purposes as opposed to 45 percent in April 1983.

b. The amount of work or training required to be eligible for day care was increased.

   - The minimum work requirement for day care eligibility was changed from 20 to 25 hours per week.

   - A minimum activity level for those in training of 30 hours per week was required.

   These changes had the effect of reducing the number of children eligible for child care and increasing the percentage of children receiving part-time care.

c. A flat rate of $9.50 per full day for every child in family day care was implemented in July 1983. Previous to that time, family day care providers were paid a reduced rate for a second child.

3. Effective January 1, 1984, the County implemented a fee program for the 0-60 percent of State median income (SMI) client group. A fee program for 60-70 percent SMI was already in place.

One of the major features of the grant has been the use of a micro-computer to track applicants for day care and analyze data for planning purposes. A description of our approach, its benefits and shortcomings, was prepared and presented at a major public welfare conference in November 1984. A copy of this report can be found in Appendix A.

The focus of this grant has been to evaluate the voucher system in terms of its impact on consumers, providers, and the total day care system. This has been done through a series of studies designed to answer key questions about the effects of the central eligibility voucher system. This report is organized around these questions as follows:

1. What has been the voucher system's impact on providers?

   - How have the old major contract centers been impacted by the change to CEVS?

   - How have the non-major contract centers been affected by the change to CEVS?

   - How have family day care providers been impacted by the change to CEVS?

2. What has been the voucher system's effect on consumers?

   - How has CEVS affected the accessibility and availability of day care?

   - How successful are consumers in finding the type of day care they prefer?

   - Are consumers satisfied with the way the system works?

3. What has been the impact of the change to CEVS on the entire day care system?

   - How has CEVS impacted Hennepin County's cost per child in day care?

   - Has the change to CEVS affected demand for day care?

   - How has CEVS affected the way Hennepin County allocates resources for day care?

4. Do Hennepin County clients who use day care to obtain training find jobs and get off AFDC?

CHAPTER 2

Methodology

The impact of the voucher system was measured by using data from a variety of sources: mail and telephone surveys, group interviews (focus groups), day care contracts, monthly payment reports, payment files, Minnesota Department of Human Services reports, and 1980 census data. This chapter describes the data sources and instruments as well as limitations.

- Data on Consumer Satisfaction

During the course of the grant, two major efforts were made to measure parent satisfaction. In January 1983, a survey was mailed to all parents with children eligible for day care purchased through CEVS; this constituted 1,071 parents. If the survey were completed by a deadline, the respondent was informed that he/she would receive a McDonald's coupon book. Approximately 65 percent of the surveys were returned. A copy of the survey instrument is attached (Appendix B).

A second measure of consumer satisfaction was implemented in January 1985 after the CEVS had been fully operational for two and a half years. Four focus groups of day care parents organized by geographic regions of the County were conducted. Efforts were made to invite a group of parents representative of the County's CEVS clients with respect to reason for day care, ages of children, and type of day care. County staff contacted day care centers with whom the County had a good working relationship as well as the Hennepin County Family Day Care Association and asked them to locate parents who would be willing to participate. Free day care, a meal, and $10.00 were offered as an incentive to participants. Fifteen parents were invited to each of the four sessions and a total of 35 parents participated. County staff prepared a list of questions. (See Appendix C.) On the basis of these questions, a private consultant sent out a letter of invitation (Appendix D), conducted the groups, and prepared a final report.

Because County staff felt compelled to work with those centers with whom there was a good relationship, and presumably who were held in high regard, the responses of participants in the focus group about satisfaction with their day care may be biased.

- Data on Providers

Day Care Centers

To determine whether technical assistance may be needed by providers and also to evaluate the impact of the voucher system on providers, a survey of day care centers was conducted during March 1983 and readministered a year later. Directors of all centers that had a major contract with the County prior to the implementation of the central eligibility voucher system were surveyed as well as directors of several centers that were specifically selected because they seemed to represent extremely well-managed centers. (See Appendix E for a copy of the survey instrument.) In addition, a random sample of 30 of the remaining 120 or so centers in the County were asked to provide enrollment data for the month of March in 1982, 1983, and 1984. For comparison purposes, data on all County clients in center care and family day care was pulled for the month of March in 1982, 1983, and 1984 from Hennepin County's Purchase of Service reports.

Family Day Care

In 1981 and again in 1983, a study of family day care providers' rates and policies was undertaken. A telephone survey was designed to provide information regarding the rate structures and billing policies of licensed family day care providers for use in establishing County rates and policies. In addition, the 1983 survey was intended to provide an indication of the level of satisfaction with the County contract system amongst those providers with contracts, and the level of interest in signing a contract amongst those providers not contracted at the time of the survey. Both in 1981 and 1983, a stratified random sample of 331 providers was drawn, with a minimum number of providers (25 in 1981, 35 in 1983) from each of the eight geographic planning areas in Hennepin County. The sample for each area was stratified to be proportional to the numbers of contracted/noncontracted providers. This sample was used for studying trends in individual geographic areas and to make inferences regarding other trends for which exact representation of the population is less an issue than is the need for large sample size. In addition, in 1983, a stratified random subsample of the entire sample of 331 was drawn consisting of 260 providers. The subsample is proportional to the entire population, both with respect to geographic planning area of providers and their contract status. Appendix F is the survey instrument used in 1983. Providers were not interviewed who were no longer providing care, were providing only part-time day care

or were caring only for school-age children; replacements were randomly selected for providers not interviewed.

- Analysis of Costs

All the bills for day care services that were processed during April 1981 and April 1984 were used to develop a data base to compare the payments for central eligibility clients before and after the implementation of the day care voucher system. Inflation was taken into account in th[illegible]ing way: The Twin Cities Consumer Price Index rose from 267.3 in April 1981 to 332.0 in April 1984, a 20.5 percent increase over the sample period. The Hennepin County's Purchase of Service office guidelines increase for the same period show an inflationary rate of 21.9 percent. In calculating the inflation rate for contracted centers, the Purchase of Service office inflation rate was used. For family day care, the 1984 rates were $1.50/hour, $10.00/day, $50.00/day maximum per family. The 1981 rates were $1.25/hour or $8.00/day for the first child and $1.90/hour or $6.75 for each additional child (no family maximum). In the cost analysis, the rate of inflation for family day care was calculated at 25 percent which reflects the real inflation in the daily rate during this time period. In actuality, the inflation rate for family day care was slightly higher because of the change in the way the County pays for two children from the same family in day care.

Since most of the day care purchased in 1981 was from centers and most of these centers cared for only preschoolers, another indication of cost changes between 1981 and 1984 would be the changes in day care center rates for preschoolers. The accounting staff assigned a portion of each center's budget to the preschool population on the basis of their contract. A weighting system was developed on the basis of each center's preschool budget and from this an average rate was determined for 1981, 1982, 1983, and 1984.

- Data on Supply and Demand for Services

Data on supply and demand has come from a variety of sources:

Day Care Information and Referral Follow-Up Survey

A telephone follow-up survey was undertaken to assess the needs of County clients and other consumers who are seeking child care and the extent to which they are met. The

Child Care Information Network (CCIN) is a private agency that provides information and referral to people looking for day care in Hennepin County. A random sample of 138 was drawn from the approximately 350 private pay callers to CCIN in May 1983. Approximately 12 percent of the callers were identified as County clients and these all were included in the sample. Only 25 public pay clients could be reached; thus, the final total sample size was 163. Results of this survey were compared to the results of a similar survey conducted in March 1981. (See Appendix G for a copy of the survey.) In 1981, a random sample of 110 callers was chosen from 764 callers to the Hennepin County Day Care Information and Referral from March 6, 1981 through April 1, 1981.

Licensing Files

The number of family day care homes under contract to Hennepin County in March 1981 and 1984 were examined according to geographic planning area.

The Minnesota State Department of Human Services (DHS)

DHS has been doing a semiannual survey of licensed day care providers since October 1980. This survey contains information about licensed homes and centers, capacity, and utilization rates by county.

Census Data

The 1980 Census (Public Use 5 percent Microsample) for Hennepin County was used to determine the number of children in the households below 60 percent of State median income by the age of the children, the labor force status of the householder, and residence. This data was used as an indicator of potential demand for day care.

- Data on Why Clients Terminate Services

To determine the impact of subsidized child care on parents who pursue training, a telephone suvey was conducted on all clients whose training plan called for completion between December 1983 and June 1984. (See Appendix H for a copy of the survey instrument.) In addition, any training client whose day care subsidy was terminated during this period was included. In this way, the study sought to capture all training clients whose day care subsidy ended during a seven-month period. Each client was

called one month after her subsidy ended. If she was working, she was interviewed at that time. If not, the interviewer asked for permission to recall her in two months, at which time the survey was administered whether or not she was working. Sixty-two clients were determined to be eligible for inclusion in the study. Of those, two were eliminated because their subsidy was terminated only for a couple of months during the summer since they were returning to the University during the fall. Of the remaining 60, 40 were contacted and 20 could not be reached. There are several factors that limit the results of this survey. Fifteen of the clients who were contacted completed their training program in May or June and, therefore, were looking for jobs during the summer. Since this is the time that children are out of school, it would not be surprising if they postponed their job search until the fall and, therefore, the success rate for these clients may be a little low. Because of the short-term nature of this study, it offers no information about how long participants retained their jobs or stay off AFDC. University of Minnesota students are under-represented in the sample for two reasons: Firstly, since they are four-year students, they complete their training programs at a slower rate than the vocational or community college student. Secondly, if they dropped out of school, it was not likely to come to the attention of Hennepin County until the late fall which was too late for inclusion in the study.

CHAPTER 3

What has been the Voucher System's Impact on Providers?

- How have the old major contract centers been impacted by the change to CEVS?

The total enrollment of children in the centers which previous to implementation of CEVS had major contracts with Hennepin County decreased by 12 percent between 1983 and 1984, while the total enrollment of children in centers that previously had not had major contracts increased by 11 percent during this same period. (See Table I.) In 1984, 67 percent of the centers which used to have major contracts indicated they had enrollment problems, while only 17 percent of the other centers surveyed indicated they were having enrollment problems. Among the centers that used to have major contracts, the most frequently mentioned reason for enrollment problems was the change by Hennepin County in eligibility criteria and the implementation of a waiting list for applicants whose reason for day care was training. The percentages of private pay children served by the centers who had major contracts with the County prior to implementation of CEVS increased from 1982 to 1984. In 1982, County children accounted for 78 percent of the enrollment of these centers, while in 1984 only 58 percent of the enrollment of these centers was composed of County children.

TABLE I

Day Care Center Enrollment
1982-1984

	March 1982		March 1983		March 1984	
	County Clients	Total Enrollment	County Clients	Total Enrollment	County Clients	Total Enrollment
Centers which previously had major contracts	573	732	502	759	390	669
Sample of other centers	117	1,762	137	1,835	111	2,030

Thus, there isn't any question that the implementation of the central eligibility system, at least indirectly, has had a negative impact on the centers that previously

had a major contract with Hennepin County. Most of these centers cite the creation of a waiting list for applicants who seek training as the major reason for their enrollment problems. The establishment of this waiting list is, at least indirectly, a result of the implementation of the central eligibility system. (For additional discussion, see Chapter 5.) The central eligibility system made day care more accessible to eligible clients and thus created an enormous demand. When the major contract system was abandoned, a new method for controlling costs had to be established and therefore a waiting list of applicants seeking training was established. The waiting list for training clients hit the old major contract centers hardest since they were and are located in inner-city neighborhoods. The pool of eligible clients from which they draw are less likely to be employable and more likely to need training than the population in the suburban neighborhoods. (See Table III.) These centers have always been vulnerable to County policy changes due to their dependence on County subsidized clients. A major goal of the central eligibility system was to decrease this dependence by increasing the mix of County subsidized and non-County subsidized children in day care centers which previously had a major contract with Hennepin County. This goal has been reached.

An additional impact of the voucher system on the old major contract centers has been an increased awareness of a need to compete in the market place. Technical assistance was of interest to a number of directors of both the centers who used to have major contracts as well as the other centers that were surveyed. The most frequently mentioned areas where technical assistance was sought were marketing and resource referral. Hennepin County has sought the assistance of the Greater Minneapolis Day Care Association and the Management Assistance Project (MAP - a private nonprofit organization whose purpose is to link managerial and technical volunteers from local corporations with nonprofit agencies) to develop a mechanism for providing marketing assistance to day care centers. Currently, these three groups are working together to develop a joint brochure with center-specific inserts that can be used to advertise centers' services.

Finally, it must be mentioned that since 1981, two of the major contract centers have gone out of business. One of the centers which closed shortly after CEVS was implemented lost its operating space. The other center which closed only recently was under investigation for child abuse. The County had terminated its contract and the State was considering revoking its license to operate when it closed its doors. Thus,

neither of these closures can be directly related to the implementation of CEVS or the enrollment problems among major contract centers that subsequently occurred.

- How have the non-major contract centers been affected by the change to CEVS?

The grant did not study the non-major contract centers as a group. However, an analysis of payments to these centers between 1981 and 1984 shows that in 1983 only three non-major contract centers received over $50,000 from Hennepin County to subsidize children. The total paid to these centers in 1981 was $291,945. By 1984, there were five centers who had not been major contract centers receiving over $50,000 from Hennepin County. The total amount paid to these centers in 1984 was $943,105, a 323 percent increase. Thus, for at least a few of the non-major contract centers, the change to CEVS created a new market for their services which they successfully penetrated. For some of these centers, this has meant increasing contact with Hennepin County, more paperwork, etc. However, County staff has not reported any reluctance on the part of these centers to increasingly serve Hennepin County clients.

- How have family day care providers been impacted by the change to CEVS?

Between September 1981 and April 1983, the number of licensed family day care providers increased by 15 percent while the number of contracted providers increased by 5 percent. Previous to the implementation of the CEVS, Hennepin County contracted for a maximum of 114 slots of family day care from contracted providers. By March 1983, Hennepin County was contracting for 413 children in family day care. Therefore, the demand for contracted slots had increased 362 percent. How did this increase in demand impact providers? In the survey conducted in April 1983, 60 percent of contracted providers responded that they were satisfied with the County's system for purchasing day care. The suburban respondents were very similar to city respondents in terms of overall level of satisfaction expressed. Table II describes the form which expressions of dissatisfaction took among the contracted providers. The most common complaint was that County rates are too low. The "Other Comments" category includes many comments concerned with rates plus other issues. It is noteworthy that only one provider indicated a problem with serving County subsidized clients; all other providers were concerned with County rates, policies, and procedures.

Licensed providers who did not contract with the County were also surveyed in April 1983 to determine their level of interest in contracting with Hennepin County. A significant portion of the noncontracted providers (24 percent) expressed definite interest in signing a contract, and an additional 43 percent of noncontracted providers suggested they may be interested depending on rates paid and other County policies and procedures.

TABLE II

Contracted Providers' Satisfaction With County System

	Number of Providers	(Percent)
Satisfied with System	52	(60%)
Dissatisfied - County Rate too Low	8	(9%)
Dissatisfied with County Policy on Payment for Absent Days	4	(5%)
Dissatisfied - Payment Delays	3	(4%)
Dissatisfied with Sibling Rate Policy	3	(4%)
Dissatisfied - Other Comments (May include combinations of comments above)	17	(19%)
Total	87*	(101%)

*Unknown for one provider (actual total = 88)

Thus, although the number of children in family day care subsidized through the central eligibility voucher system increased significantly between 1981 and 1983, the number of contracted providers did not. This suggests that there was enough slack in the system; i.e., there were enough contracted providers previous to the implementation of CEVS, to accommodate the large increase.

CHAPTER 4

What has been the Voucher System's Effect on Consumers?

- How has CEVS affected the accessibility and availability of day care?

The best data available to Hennepin County describing the potential demand for day care is the 1980 census data. The 1980 census data was analyzed to determine the number of children six years old or under who lived in households below 60 percent of the State median income. Table III depicts the results.

TABLE III

Potential Demand for Day Care by Single Heads of Household

	Children in Income Eligible Households Where Head Works 25 or More Hours/Week		Children in Income Eligible Households Where Head Works Less Than 25 Hours/Week		Total Children In Households	
	Number	Percent	Number	Percent	Number	Percent
City	1,540	63.6%	4,980	73.9%	6,520	71.2%
Suburbs	880	36.4%	1,760	26.1%	2,640	28.8%

TABLE IV

Comparison of the Geographic Distribution of Children in Day Care Between 1981 and 1984

	July 1981		July 1982		July 1983		July 1984	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Center Slots								
City	774	93%	525	75%	542	66%	432	57%
Suburbs	55	7%	171	25%	276	34%	328	43%
Total	829	-	696	-	818	-	760	-
Family and In-Home Care								
City	Unknown	-	173	59%	267	64%	235	62%
Suburbs	Unknown	-	120	41%	152	36%	147	38%
Total	114	-	293	-	419	-	382	-
Total Slots	943	-	989	-	1,237	-	1,142	-
City	Unknown	-	698	71%	809	65%	667	58%
Suburbs	Unknown	-	291	29%	428	36%	475	42%

Table III shows that in those households where the head of household works less than 25 hours/week, 73.9 percent of the children six years old or under live in Minneapolis. Thus, those people who are most likely to seek day care for training purposes are more likely to come from the city than the suburbs.

Table IV shows that the effect of CEVS was to dramatically shift center care away from the city and into the suburbs. In fact, the geographic distribution of children in day care in July 1984 closely reflects the demand for day care as indicated by the number of children in households where the head of household is working 25 or more hours. However, it does not as closely reflect the demand as indicated by the number of children in households where the head of household works 25 hours or less. Because Hennepin County had a freeze on applications from training clients in effect between July 1983 and July 1984, the number of potential clients from the inner city was limited. Thus, the effect of this freeze was to shift the client base to the suburbs. Though one of the total effects of the change to CEVS was to make subsidized day care more available to eligible clients in the suburbs, the implementation of the freeze disproportionately favored the suburbs. The lifting of the freeze in July 1984 should adjust that imbalance.

In the parent satisfaction survey administered to all CEVS clients in January 1983, center day care was preferred 60 percent of the time, family day care 23 percent of the time, and an in-home provider 7 percent of the time. "No preference" was stated 6 percent of the time. Table V compares parental preference as expressed in this survey with children in day care before and after implementation of the voucher system.

TABLE V

Comparison of Parental Preference and Actual Usage of Day Care 1981-1984

	Parental Preference	March 1981 Percent CEVS Kids in Day Care	March 1984 Percent CEVS Kids in Day Care
Family and In-Home	30.0%	11.5%	34.4%
Center	60.0%	88.5%	65.5%
No Preference	6.0%	-	-

This table shows that in 1984 the percentage of children in family day care and center care more accurately reflects preferences (as reflected by the 1983 survey) than in 1981. There is little reason to believe that parental preferences have changed significantly in these three years although we have no data about parental preferences in 1981.

Previous to the implementation of CEVS, the majority of Hennepin County's subsidized day care was provided to preschoolers. It was assumed that since in 1981 the major contract system limited family day care and that only a few centers served infants and toddlers, the change to CEVS would significantly change the age breakdown of subsidized children in day care. Table VI compares the ages of children in day care between 1981 and 1984.

TABLE VI

Comparison of Ages of Children in Day Care 1981-1984

	March 1981		March 1984	
	Number	Percent	Number	Percent
Infants	23	2.7%	48	4.8%
Toddlers	86	10.1%	122	12.3%
Preschool	613	72.6%	591	59.5%
Latchkey	122	14.5%	232	23.3%
Total	884	-	993	-

Table VI shows that CEVS has resulted in an increase in children in day care and that all of this increase has been among infants, toddlers, and latchkey and not among preschoolers. In fact, the number of preschoolers subsidized by CEVS decreased between 1981 and 1984. Remembering that in March 1984, the freeze on training clients was in effect is helpful in explaining the large increase in latchkey children. Training clients are more likely to have younger children than employed clients. It is clear from this breakdown that the ages of children in day care changed after CEVS was implemented, presumably as a result of the increased availability of slots in other than the preschool category.

- How successful are consumers in finding the type of day care they prefer under the central eligibility voucher system?

In the survey administered to parents in January 1983, consumers were asked for each of their children what type of day care they preferred and what type of day care they were receiving. Of those who preferred family day care, 90 percent were receiving it. Of those who preferred center care, 88 percent received center care. However, when only the data on the first child is analyzed, approximately 70 percent getting family day care prefer family day care and approximately 90 percent getting center care prefer center care.

Through the applicant tracking system that was developed as part of this grant, the County has been tracking success in finding day care since August 1983. Table VII graphs the success rate for finding day care for applicants and reapplicants determined eligible between August 1983 and February 1985. Only data on the first child was used, since we have only one preference for each parent. This data must be cautiously used since almost half of the applicants do not indicate to us their preference. However, over the 19 months this graph depicts those who were looking for center care consistently had a higher rate of success averaging 94.7 percent compared with those looking for family day care who average a success rate of 79.5 percent. The percentages are strikingly similar to those obtained from the survey data.

Although we have no data to indicate how successful clients were in finding day care in 1981 (in fact, this is almost a meaningless question since previous to CEVS, clients first contacted one of the major contract centers who then helped them in gaining eligibility for subsidized care), we have data for both 1981 and 1983 indicating how successful callers seeking day care information and referral (both private pay and public pay) were in finding the type of day care they requested.

In April 1981, 44 percent found the type they requested while in May 1983 this figure rose to 59 percent. Both of these success rates are considerably below success rates for Hennepin County clients. However, comparisons between the success rates for County clients and information and referral callers are difficult since the latter group in 1983 was much more likely to be looking for infant care (57 percent) and family day care (76 percent), and looking for part-time or off-hours day care. All three of these characteristics make it difficult to find day care. Also, the information and referral callers seem to lack the commitment necessary to find day care since over 50 percent indicated that the reason they didn't find day care was they "didn't call".

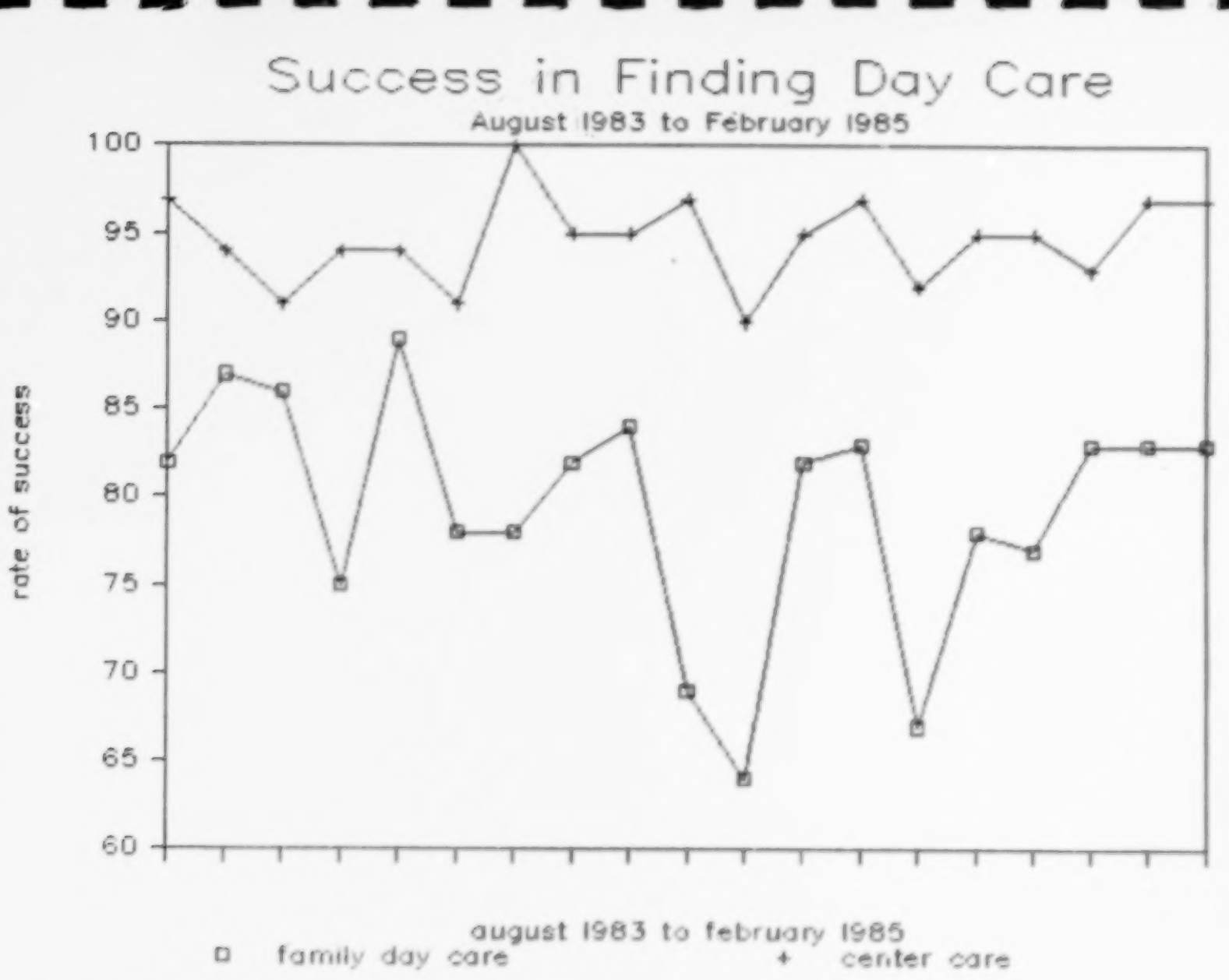

TABLE VII

Success Rate in Finding Day Care for Applicants and Reapplicants Determined Eligible Between August 1983 and February 1985

- Are consumers satisfied with the way the central eligibility voucher system works?

Two efforts were made as part of this grant to determine parents' satisfaction with the County subsidized day care system. The parent satisfaction survey conducted in January 1983 indicated a high level of parent satisfaction. Ninety-six percent of the respondents were "very" or "mostly satisfied". This may be partially artifact; the literature suggests that satisfaction is typically expressed by clients when the service agency does the asking. However, there are several related findings which suggest that the high expressed satisfaction level may be valid. The open-ended question produced positive comments from a high percentage of the respondents. Moreover, only 12 percent of the respondents stated they would like to change their day care at this time. In addition, most clients are receiving the type of child care they claim to prefer. Satisfaction level may be related to the length of time County subsidized care has been used (with shorter eligibility linked to more dissatisfaction), but some cells were too small to provide reliable trends. Answers to questions on family and center day care indicated that approximately 20 percent of the respondents were unclear as to the differences in these types of care. Forty-two percent of the parents stated that they had not ever visited both family and center day care providers and 55 percent of the parents did not visit more than one provider when selecting their current day care provider(s). Most parents were not aware that Hennepin County will fund in-home care. These findings suggest that parents had not "shopped" for their child care and were not well-informed about their options. These results are significant since a major goal of the CEVS was to give the consumer greater choice in finding the type of care to meet her needs.

Approximately 20 percent of parents found some parts of the County application forms to be unclear, and wanted assistance; both County staff and day care providers met this need, and only 2 percent of the respondents stated that no one was available to provide needed assistance.

It was these last findings that impelled the grant staff to conduct a series of focus groups to determine more precisely what aspects of the County system could be improved. In addition, it was hoped that the problem mentioned above of usually obtaining positive responses regarding an agency's services when the agency itself is doing the asking could be circumvented by hiring an outside consultant.

By January 1985, CEVS had been fully operational for two years. It was felt that a new measure of consumer opinion was needed and that a focus group approach might be useful in producing concrete suggestions for improving the system.

Participants in the focus groups were extremely appreciative of the quality of day care provided, the quality of day care workers, the way their children were thriving, the feeling of security that comes from knowing that their children are safe while they were working. Ninety-four percent felt that "getting the day care subsidy was a major factor in letting them work or go to school". However, the focus groups did reveal that clients have a great deal of difficulty with some of the procedural aspects of CEVS. Almost everyone interviewed had trouble finding out (from County workers) about the existence of this program. Information about the existence of the program was likely to come from sources other than the County. The independent investigators reported that the overwhelming sentiment of most (around 80 percent) of the respondents was that "Some County workers are OK, and some are quite positive and supportive, but you run into lots of bad attitudes."

As the result of these focus groups and the information they provided about clients' attitudes toward the CEVS, Hennepin County is reevaluating its procedures for certification and recertification. The microcomputer is being used to send out letters to clients in training to remind them when various pieces of information need to be submitted for recertification. Hopefully, this will ameliorate some of the more technical problems encountered by clients. The problem of workers' attitudes is one that seems to pervade the "welfare" system and is therefore more difficult to solve. Hennepin County administrators are currently considering a variety of options for worker training and interdepartmental coordination to deal with the attitudinal problems.

A key element in the change to CEVS was a transfer of responsibility for selecting day care and obtaining the subsidy to the consumer. Most consumers seem satisfied with their ability to select day care. In fact, the consultants who conducted the focus groups stated in their final report that "the permission to choose one's day care provider (rather than being assigned by the County or having a choice that's severely limited) is a successful ingredient to the County's system." However, for the consumer the mechanics of obtaining a subsidy are more troublesome. Clearly, the County needs to do more in advertising the existence of the subsidy and how to obtain it both within

the "welfare" system and in the community at large. Recommendations by the consultant include:

- The development of a marketing brochure.

- A training program for all County workers who work directly with those for whom the CEVS is targeted.

- Those in "gatekeeper" roles should be made aware of the purposes of the program as well, especially public and private employment offices and admissions offices to vocational and technical schools. Local day care trade associations and user advocacy groups should also be kept current.

CHAPTER 5

What has Been the Impact of the Change to CEVS on the Entire Day Care System?

- How has CEVS impacted Hennepin County's cost per child in day care?

Rates

Table VIII was prepared on the basis of the rates and not-to-exceed contract amounts (NTEs) for day care centers with contracts ending in the years indicated. The rates for the major contract centers remained stable between 1981 and 1983. The amount of business done, as reflected by the NTE, with the major contract centers decreased since clients were able to use other centers. The rates for major contract centers continue to be higher than those in the general community. The rates paid by Hennepin County to all centers increased by only 4 percent between 1981 and 1984--a rate significantly below the 21.9 percent inflation of that period.

TABLE VIII

Preschool/Full-Time/Open/Centers

	1981		1982		1983		1984	
	Rate	NTE	Rate	NTE	Rate	NTE	Rate	NTE
Centers with major contract before CE:	$11.82	$1,832,000	$11.25	$1,974,000	$11.92	$1,508,000	$12.70	$1,332,000
% Increase (Decrease)	–	–	(5%)	8%	6%	(24%)	7%	(12%)
Centers with contract after CE:	NA	NA	$11.23	$843,000	$11.44	$2,035,000	$12.11	$2,458,000
% Increase	–	–	–	–	2%	138%	6%	21%
All contracted centers	$11.82	$1,832,000	$11.25	$2,817,000	$11.64	$3,543,000	$12.32	$3,790,000
% Increase (Decrease)	–	–	(5%)	54%	3%	26%	6%	7%

Costs per Child per Month for Central Eligibility

Table IX compares the cost per month per child for the three types of day care between 1981 and 1984. The cost per child in center care rose only 4.2 percent in

three years, well below inflation. This is largely due to the wider use of lower cost centers that did not have major contracts with the County in 1981 and the drop in FIDCR standards in 1982. The average cost per child in family day care rose 13 percent in three years, although the rate that Hennepin County pays per day rose 25 percent during that time period. The low increase is due to some of the policy changes that limited payment that were outlined in Chapter 1. When inflation is considered, the average cost per child should have increased by $48.79* between 1981 and 1984. Instead it dropped by $9.94 or 4.5 percent. The total decrease in 1981 dollars is $58.73 ($48.85 plus $9.94). Of this, $21.00 can be attributed to the drop in the FIDCR standards in 1982. The remaining $37.73 or 17.2 percent is due to the wider use of family day care, the wider use of lower cost centers, the increased use of fees, and other policy changes brought about by the CEVS.

County Agency Staff Costs

There was some change in the County staff administering the day care program with the advent of central eligibility. First, there was an increase in telephone and personal contact with clients. Under the old system, County staff spoke mostly with vendors who were reasonably aware of the administrative policies being discussed. With central eligibility, the clients were discussing their problems directly with County staff. This meant that these staff had to develop new interviewing skills, both on the telephone and in person. The increased workload by eligibility staff was absorbed in the current staff complement of five case aides and by shifting work to clerical staff.

Clerical staff in the Accounting Unit had an increased workload. First, there was an increased number of vendors (family, in-home, and center) which required additional input into the computer. Second, there was increased processing time per case because the bills were edited against the case plan which allowed day care only for certain days. This increase was also absorbed with the current staff complement.

Finally, there was an increasing number of clients applying through central eligibility. This was indirectly the effect of central eligibility since day care was available in more locations in the County; therefore, more clients took advantage of the service.

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*This reflects a combined inflation rate of 22.24 percent for family and center care.

Because of this increase, one additional clerical person was added to the Verification Unit at a cost of approximately $15,000.

TABLE IX

Average Cost per Child in Day Care
1981-1984

		Average Cost/Child	
		1981	1984
In-Home Care	Infant	$ 0	$138.00
	Toddler	0	0
	Preschool	0	182.00
	Latchkey	0	158.33
	TOTAL	$ 0	$163.40
Family Day Care	Infant	$182.80	$170.56
	Toddler	148.30	161.07
	Preschool	135.73	172.38
	Latchkey	81.80	115.92
	TOTAL	$133.35	$150.58
Center Day Care	Infant	$325.00	$327.11
	Toddler	272.12	299.51
	Preschool	236.25	242.65
	Latchkey	163.68	167.80
	TOTAL	$230.58	$240.20
TOTAL	Infant	$263.17	$241.73
	Toddler	228.93	251.85
	Preschool	230.19	224.98
	Latchkey	150.25	140.94
	TOTAL	$219.40	$209.46

- What has been the impact of CEVS on the demand for day care?

General Population

In the two surveys done in 1981-1983 that were intended to measure the need for day care among the general population of Hennepin County by following up users of a day care information and referral service, it was found that the needs had not changed significantly in those two years. In 1983, there appears to be a slightly greater

percentage of people looking for infant care and slightly more people looking for day care in the suburbs. (See Tables X and XI.) However, these differences are not significant.

TABLE X

Requests for Day Care by Age of Children

	April 1981		May 1983	
	Number	Percent	Number	Percent
Infant	63	44%	101	50%
Toddler	30	21%	29	14%
Pre-School	30	21%	38	19%
Kindergarten	11	8%	9	4%
School Age	8	6%	24	12%
Total	142	-	201	-

TABLE XI

Requests for Day Care by Home Geographic Area

	April 1981			May 1983		
	Number	Percent		Number	Percent	
North Minneapolis	17	12%		12	7%	
Northeast Minneapolis	5	4%		18	11%	
Southeast Minneaplis	10	7%	49%	17	10%	45%
Central	12	9%		17	10%	
Southwest	23	17%		11	7%	
Northwest Suburban	18	13%		31	19%	
West Suburban	32	23%	51%	24	15%	54%
South Suburban	21	15%		32	20%	
Total	138*	-		162*	-	

*Does not include requests for day care near work only.

In 1983, it was found that those callers who did not find day care were more likely to be looking for other than full-time care (chi-square significant at 0.05 level). (See Table XII.) These findings were also substantiated by the focus group researchers who noted "Respondents, for the most part, have been able to find the kind of day care they need. However, some gaps were noted. They include: care to cover work shifts other than 8:30 a.m. to to 5:00 p.m., infant care, night care, care for children with special needs, care in southern Hennepin County."

TABLE XII

Comparison of Day Care Hours Requested for Those Who Found Day Care and Those Who Did Not in May 1983

	Found Care		Did not Find Care	
	Number	Percent	Number	Percent
Full Time	98	71%	30	51%
Part Time	28	20%	13	22%
Overnight	1	1%	-	-
Evenings	3	2%	6	10%
Weekends	1	1%	1	2%
Drop-In	2	1%	3	5%
Other	2	1%	5	8%
Unknown	3	2%	1	2%
Total	138	99%	59	100%

Also, in 1983, people seemed to be slightly more successful in finding the type of day care they requested (i.e., family or center) than in 1981. (See Table XIII.) However, the same percentage of people were unsuccessful in finding day care in 1983 and as in 1981. The survey found that in 1983 the major reason the surveyed people did not find day care was that they "didn't call". This finding raises some doubt about how serious the callers to the information and referral service were about actually finding day care.

TABLE XIII

Success in Finding Day Care

	April 1981		May 1983	
	Number	Percent	Number	Percent
Found Type Requested	62	44%	116	59%
Found Alternate Type	37	26%	18	9%
Did Not find Day Care	42	30%	58	30%
Unknown	1	1%	4	2%
Total	142	-	196	-

CEVS Clients

Table XIV depicts the number of children in day care by reason between 1981 and 1983. As the table shows, the number of children subsidized through CEVS grew steadily between June 1981 and June 1983. At that time the County, because of this growth, was forced to consider some way of controlling costs and implemented a freeze on training clients. This freeze explains the precipitous decline of clients in training until June 1984, at which time the freeze was formally lifted. As the November 1984 data shows, this policy change has again resulted in an increase in training clients.

Obviously, the demand for CEVS day care is dependent upon Hennepin policies. The ability of Hennepin to adjust its policies to fine tune demands has been enhanced by the implementation of CEVS. (See the next section for a discussion of this.)

TABLE XIV

Breakdown of Children in Day Care
1981-1984

	June 1981	June 1982	Nov. 1982	June 1983	Nov. 1983	June 1984	Nov. 1984
Training	N/A	N/A	538	520	327	138	275
Employed	N/A	N/A	565	799	720	994	885
Total	943	989	1,103	1,319	1,047	1,132	1,160

- How has CEVS affected the way Hennepin County allocates resources for day care?

The change for Hennepin County to a voucher system was in essence a change in the intake process. Prior to January 1982, the major contract centers served as application points for Hennepin County's day care subsidy program. As such, they became an integral part of the intake process. Staff from the major contract centers needed to be involved in any change to the eligibility determination procedure because they were the key to successful implementation. For this reason, a manual review committee was constituted in 1975. When CEVS was implemented, additional members were added to this committee which continues to this date.

With the implementation of CEVS, the point of application was transferred to Hennepin County. Although many of the centers continue to advise their clients regarding the application process, in most cases clients were required to contact Hennepin County staff. The centers were no longer an essential part of the application process.

Directly as a result of this change, Hennepin County was given more flexibility to change its eligibility criteria. It was no longer essential to train 20 centers to implement a procedural change which now could be achieved internally through an intra-departmental memo. Thus, when as a result of the CEVS, the demand for day care escalated in the summer of 1983, Hennepin County exercised this new flexibility through a number of policy changes. These changes included a freeze on training clients and the development of a formula that weighed the projected earnings level of training applicants in placing them on a waiting list. This was a major change in the administration of the Hennepin County subsidized day care program. It was an attempt to set priorities by determining who should receive day care rather than who should provide it.

As a direct result of the voucher system, Hennepin County has been able to exercise more control over who receives subsidized day care. The County has proceeded cautiously in doing this. The freeze on training clients was a reaction to a budget crisis. At that time it was necessary to limit expenditures dramatically because of a budget overrun. It was determined that it was more equitable to limit new applicants rather than make current clients ineligible. Also, it was believed that training clients who were not able to obtain subsidized day care would be better able to adjust their schedules by delaying school than employed clients who might lose their jobs. Therefore, it was determined that a freeze on training clients was the best way to handle the budget overrun. As has been discussed in previous chapters, that decision had some unplanned consequences including the favoring of the suburbs over the city and new centers over the old major contract centers.

Hennepin County continues to review its day care policies and their implications. A study committee of representatives from the city, County, provider groups, and consumers has been established to examine priorities for day care. The manual review committee, comprised of providers and County staff, continues its ongoing work to maintain a manual that fairly reflects County policies. Finally, the County continues

to collect information through its applicant tracking system and through special studies such as the outcome study of clients in training to aid in the development of priorities. As the census data indicates (cited in Chapter 3), the potential demand for day care is huge. The voucher system has meant that Hennepin County, with limited resources, is now directly faced with decisions about who should receive day care. The County under CEVS can no longer resort to the indirect method of setting priorities through the choice of providers.

In addition, it is clear from the focus group research on clients that one of the weakest aspects of CEVS is that knowledge of the program's eligibility criteria and procedures among potential day care consumers is severely limited. This is at least partially due to the fact that these criteria have changed several times during the last year and a half. However, if Hennepin County attempts to publicize and market this program in the community, as the researchers recommend, the inevitable consequence will be increased demand. If the day care budget is not concurrently raised, Hennepin County will once again be faced with setting priorities for day care by limiting eligibility to certain clients.

CHAPTER 6

Do Hennepin County's Clients Who Use Day Care to Obtain Training Find Jobs and Get Off AFDC?

In the course of evaluating CEVS, Hennepin County administrators as well as community representatives to the grant's advisory task force became interested in the broader issue of whether the day care subsidy really has an impact on the economic lives of clients? Do our clients eventually get off AFDC and become independent of the child care subsidy? Initially, this question was asked with respect to both the employed and training groups. However, an analysis of turnover among the employed clients made it quickly clear that there were not enough of these clients leaving the program to make a meaningful follow-up study of this group possible during the life span of the grant. Therefore, grant staff concentrated its resources on the training group.

The study of 40 clients whose day care subsidy for training terminated between December 1983 and June 1984 found:

- 48 percent of clients employed at the time of either the one-month or three-month follow-up. 35 percent were employed after one month and another 13 percent after three months.

- The average monthly salary of the employed group was $915.42.

- 75 percent of those who were employed worked 35-40 hours per week.

- 89 percent said they were employed in the field in which they were trained.

- 100 percent said that the training they received helped them to obtain their current job.

- 58 percent of the employed clients were still receiving a Hennepin County subsidy for day care at the time of follow-up.

- Of those not working, reasons stated were:

  38 percent can't find a job.

33 percent want to go back to school.

14 percent didn't look for a job.

10 percent salary offers not enough.

5 percent decided to wait until children are older.

- 78 percent of all clients completed training. The breakdown of the relationship between training completion and work outcome is depicted in Table XV.

TABLE XV

Working Status at Time of Follow-Up

Training Completed	Working	Not Working	Total
Yes	17	14	31
No	2	7	9
	19	21	40

This table shows that those who completed their training are more likely to be working at the time of follow-up.

- 90 percent of the clients were on AFDC during the time they obtained training.

- 65 percent of the clients were on AFDC at the time of follow-up. The breakdown of AFDC status by job status at time of follow-up is shown in Table XVI.

TABLE XVI

	AFDC Status		
Job Status	On AFDC	Not on AFDC	Total
Working	6	13	19
Not Working	20	1	21
	26	14	40

This table shows that those former clients who are working are less likely to be on AFDC. The relationship between these two variables is significant at .02 level ($x^2 = 17.67$). Of the total of 40 clients interviewed, 13 (33 percent) were off AFDC and working.

- Of the clients who were working at the time of follow-up, those who were working full time (35-40 hours per week) were more likely to be off AFDC than those who were working part time (less than 35 hours per week). See Table XVII.

TABLE XVII

	On AFDC	Not on AFDC	Total
Part Time	4	1	5
Full Time	3	11	14
	7	12	19

This study does not allow any conclusions about the cost-benefit of subsidizing day care for training purposes. To do so would require a control group of AFDC recipients who do not obtain training. However, the discovery that 48 percent of clients had obtained jobs within three months of termination of their child care subsidy as well as the significant relationship (despite the small sample size) between working and independence from AFDC has been encouraging to administrators of this program. In addition, these findings must be coupled with the more intangible benefits of the day care subsidy found by the focus group researchers. "We were impressed at how their aspirations are at odds with the stereotype of 'the welfare recipient'." They look forward to the day they can "get that recertification form, tear it up, and say, 'Look, I can pay.'"

CHAPTER 7

Conclusions

The Department of Human Services research grant was awarded to Hennepin County to determine what was the impact of a day care voucher system. Did the voucher system, as intended, solve the problems created by the contract-based system? If so, did it create new problems for the County, consumers, or providers?

The answer to the first question is unequivocally yes. As this report indicates, the problems of the contract-based system (outlined on page 1), for the most part, were solved by the implementation of the central eligibility voucher system. Consumers were given greater choice and responsibility in selecting their day care. This choice led to the wider use of family day care and more geographic diversity among Hennepin County's subsidized day care clients. This choice also led to reductions in the cost per child in day care for Hennepin County and enabled Hennepin County to serve more children in its CEVS program.

However, it cannot be said that the voucher system is without its problems. The greater availability of day care created by the voucher system contributed to an increased demand for subsidies beyond Hennepin County's resources. This increased demand has forced Hennepin County to face some very difficult and sometimes politically unpopular choices about who should receive day care.

For a few of the old major contract centers, the transition to the CEVS has been a difficult one. Faced with declining enrollment, they were forced to market their services at a time when Hennepin County had restricted intake. However, most of these centers have survived this transition and are now increasing their efforts to extend their services to private pay clients.

The voucher system has brought clients more closely in contact with County staff for purposes of application and recertification. As the research indicates, from the consumer perspective, this has been the most troublesome aspect of the voucher system. As a result of this grant, Hennepin County is currently developing a strategy for improving the application process.

Finally, it must be said that Hennepin County's day care subsidy system, as it currently operates, is a much healthier system now than it was in 1981. More people are being served for comparatively less money. Consumers are satisfied. Fewer providers are totally dependent on Hennepin County. Clients, because of the day care subsidy, are able to receive training that enables them to obtain jobs. There are no severe shortages of any one type of day care. In conclusion, the change to a voucher system has been a very positive experience for Hennepin County.

APPENDICES

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APPENDIX A

USING A MICROCOMPUTER TO OPERATE A DAY CARE APPLICANT TRACKING SYSTEM--THE HENNEPIN COUNTY COMMUNITY SERVICES EXPERIENCE

DHHS/OHDS Grant No. 90-PD 86513101

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EXECUTIVE SUMMARY

In 1982 the Hennepin County, Minnesota, Community Services Department started to use a voucher system to purchase child care services (on behalf of eligible applicants) from service providers in the private sector. Once the voucher system was established, a study was undertaken by the Community Services Department to assess the impact of this method of purchasing services on clients and providers of the services. In order to facilitate this evaluation, the Department applied for and received a grant from the Office of Human Services Development (HSD). Part of the study effort was to involve the development of a computer-based system for keeping track of applications for child day care subsidy.

The Application Tracking System, also referred to as the "Day Care Applicant Tracking System", has been operational since June 1983. It has maintained data derived from several forms which are part of the application package. The System has assisted the County's Community Services Department to keep track of the status of each application for day care subsidy--by law, these must be processed within 30 days once they are completed by applicants. In addition, it has had the following impact:

1. Reports generated from the System have enabled the Department to chart trends in local demand for day care services in a more definitive way than ever before. Such information is being used in setting priorities, forecasting demand for the services as well as in planning and budgeting in connection with the subsidy program.

2. The System has also assisted the Hennepin County Community Services Department to manage access of applicants to day care services under conditions when resources for these services are limited at the County level. Managing this access to services has been accomplished using a computerized waiting list of eligible applicants as eligibility criteria have changed to reflect changes in availability of resources.

PURPOSE

The purpose of this report is to share with others in the field of humanl/community services our experience in developing, operating and maintaining the Hennepin County Community Services Department Day Care Applicant Tracking System. This experience is discussed in terms of rationale for implementing the system on a microcomputer, the development process, content of the information system types of reports produced and attendant issues, problems, advantages and limitations. The discussion is directed at managers and directors in local and national human service organizations and programs.

BACKGROUND AND RATIONALE FOR IMPLEMENTING THE APPLICANT TRACKING SYSTEM ON A MICROCOMPUTER

In 1982 the Hennepin County, Minnesota, Community Services Department started to use a voucher system to purchase child day care services (on behalf of eligible applicants) from providers in the private sector. The voucher system was to replace a contract-based system in which most child day care services were purchased through a few "centers" serving primarily County-subsidized clients. In order to facilitate evaluation of the newly implemented voucher system in terms of its effects on clients, prospective clients and service providers, the Department applied for and received a grant from the Office of Human Services Development in the United States Department of Health and Human Services. The funds provided through the grant were to be used in carrying out a study entitled:

Purchase of Child Day Care
Through a Voucher System: An Evaluation and Use
of Technology Transfer and Technical
Assistance to Enhance Service Delivery

As the title of the project indicates, part of the study effort was to involve the development of a computer-based system for keeping track of applications for child day care subsidy. It was envisaged that the information gathered would be used for planning child day care services in the County and managing applicants' access to services under conditions when public funds for purchasing these services were severely limited in the County. It was also hoped that the Community Services

Department's experience in creating the Applicant Tracking System, referred to in this report as the "Applicant Tracking System", would be useful to other human service programs and organizations wishing to use microcomputers in managing or planning similar activities.

This report outlines our progress in establishing the microcomputer-based Applicant Tracking System for child day care services.

THE DECISION TO USE A MICROCOMPUTER FOR HENNEPIN COUNTY'S CHILD DAY CARE APPLICANT TRACKING SYSTEM

A. Operational, Management and Planning Considerations

At first, processing and keeping track of applications for child day care subsidy for Hennepin County was done completely manually. Because the number of applications is large, about 400 per month, the task of tracking the application documents and updating the information in them was time consuming. Generating statistics or reports for management of the County's day care subsidy program was even more difficult. In fact, prior to the development of a computerized system, few reports were generated in aid of the management and planning support for the program. Thus, it was difficult to set priorities and to do budgeting and forecasting for child day care subsidy program and service needs in the County. In addition, potential for not processing applications within the 30-day legally established limit was greater.

Additionally, information pertaining to child day care residing on the County's mainframe computer was mostly of the type useful for making payments and a need was seen to supplement it with information useful in managing the subsidy program.

These are some of the operational and management considerations that went into the decision to computerize the application tracking process.

B. Hardware and Software Considerations

After the requirements of the Applicant Tracking System were defined in terms of the reports to be generated and the data elements to be captured, an examination of available microcomputer hardware and software was undertaken.

Based on this analysis, a microcomputer, a 256K IBM-PC, was purchased; in addition, dBase II and Lotus 1-2-3 were selected and acquired as the principal software packages to be used in creating and maintaining the data base which was envisaged.

The following summarizes the hardware/software environment in which the microcomputer hardware and software were obtained:

At that time (1982-1983), Hennepin County had a large IBM 370 Computer System and the County's Information Services (IS) staff had a large backlog of work requests from user departments because of development activities related to the Community Services Information System (CSIS) and other systems. Thus, there was a need for "user-friendly" software for data entry and processing which users, with the assistance of a part-time programmer or analyst, could learn to use within a short time.

The following are some of languages available for use in programming on the IBM 370 mainframe computer: Cobol, Focus, Fortran, Easytrieve, SPSS, SAS and Assembler. It was determined that these languages did not satisfy the criterion of "user-friendliness" and "ease of use" with respect to the expected tasks of frequent data retrieval, updating, editing and other processing by end-users with little training in manipulating information using a computer.

Cobol and Fortran programs (second generation languages), for example, take a long time to develop, debug and maintain. The third and fourth generation languages and packages, including Focus, SPSS, SAS and Easytrieve, were found to have report formats too rigid for the type of custom reports expected from the data base which was designed. With the exception of Focus, the latter languages do not lend themselves easily to on-line, update, retrieval and editing of data. Focus, however, takes a long time to master; e.g., 7 eight-hour courses taken on a computer terminal were available; it takes several weeks or months of use to develop proficiency in this language. Assembler language is difficult to learn and requires intimate knowledge of the IBM 370 System architecture. As if the languages discussed above were not sufficiently difficult to learn, most of them require IBM System 370 Job Control language (JCL) which many first-time users and initiated programmers find esoteric and difficult to learn. Moreover,

developing programs in all the languages mentioned above require that the user learn to use the Interactive Program Development Facility (PDF) for the IBM System 370 MVS-XA operating system. It takes several days for a new user to master PDF and learn how to use the program function keys (PF keys) on the IBM 3278 terminal (3278 terminal training courses were available).

On the other hand, it takes about two days for a new end user to learn to operate the IBM-PC and learn the basic commands of DOS--the Disk Operating System. Learning dBase II commands for use in data entry and setting up simple reports takes an extra two to three days. Lotus 1-2-3 takes longer to learn, but when systems are set up using this software, end users can operate them without requiring substantial assistance of a programmer or analyst.

Because of these considerations, a decision was made to obtain a microcomputer and associated data base management software.

THE SOLUTION AND RESOURCE REQUIREMENTS

After the data processing problem (need) or application was identified and defined (articulated), the process of implementing a solution and obtaining the necessary resources started.

First, the Hennepin County Community Services Department applied for and received a grant from the Office of Human Development Services in the United States Department of Health and Human Services (DHHS) to assist in carrying out and monitoring the child day care subsidy voucher system and technology transfer and technical assistance project referred to earlier in this report.

Using funds from this grant, the Community Services Department purchased a 256K RAM IBM-PC and software (dBase II and Lotus 1-2-3) after doing some research on available hardware and software. The rationale for the decision to buy this hardware and software was that the Department staff felt that the vendors involved were likely to provide software support for the life of the hardware. The software was selected based on ease of data entry and data base maintenance (dBase II) and spreadsheet analysis and graphics capability (Lotus 1-2-3). In addition, since the Disk Operating System disk (DOS) of the IBM-PC comes with a disk basic translator for

Intermediate Level and Advanced Basic, it was felt that some of the more statistically oriented reports might be produced using the Basic language or the dBase II programming language--whichever would be easier for the project staff to work with. It was felt that list processing would be best handled by using the dBase II report facility.

Lastly, but most importantly, before the hardware and software were purchased, it was necessary to determine what personnel or staff would be needed or were available to operate the computerized aspects of the Day Care Applicant Tracking System. In this regard, it was estimated that two part-time staff would be needed for data entry, editing and other data base maintenance functions as well as producing some of the reports. In addition, a programmer or analyst or management information systems specialist would be required to handle data base design and computer programming--including system development. The primary data entry clerk was to contribute 0.50 full-time equivalent (FTE's). The programmer, analyst or specialist was to contribute 0.20 FTE's. As it later happened, a second data entry clerk was trained to provide back-up for the primary data entry person.

Three other individuals, including the project coordinator or administrator, were to set the general direction for the project and design reports for use in research, management and planning to be generated from the Applicant Tracking System and the associated day care voucher project.

START-UP OF THE "APPLICANT TRACKING SYSTEM"

As the project started, discussions were held with staff within the Hennepin County Community Services Department who might have some use for reports or statistics generated through the Day Care Applicant Tracking System. The staff included a Senior Accountant who, at the time, supervised the Purchase of Service Verification Unit, and a Senior Administrative Aide within the Department. Following these discussions, some reports were designed. These were based on what the project staff and other affected individuals felt would generate useful management and planning information for the child day care payment subsidy program. Among the general questions which were asked at that time were: Who were these applicants? What geographic planning areas did they reside in? Where were they seeking child day care? What type of day care (in-home, family or center care) were they seeking? What were

the ages of the children for whom they were seeking care? Why were they seeking payment subsidy? Were they new applicants or had they received day care payment assistance from the County before?

Based on the questions raised and the reports which were designed, the variables which the data base was to contain were defined. Decisions on what data items were to be captured on the Applicant Tracking System were thus made on the basis of: a) information needed for facilitating operations (processing applications) and management of the County's Day Care Verification Unit; and b) information needed for day care program planning support.

Some of the data items required existed on forms then used as part of the application package. New forms were designed, as needed, to capture the rest of the information.

Subsequently, procedures were developed for extracting data from forms and for coding information (where necessary) and entering it into the data base using dBase II-generated data entry screens. At the same time, project staff responsible for data entry and generating reports were trained in the use of the IBM-PC and the associated software--particularly dBase II. Hennepin County's computerized training facilities were used for this purpose.

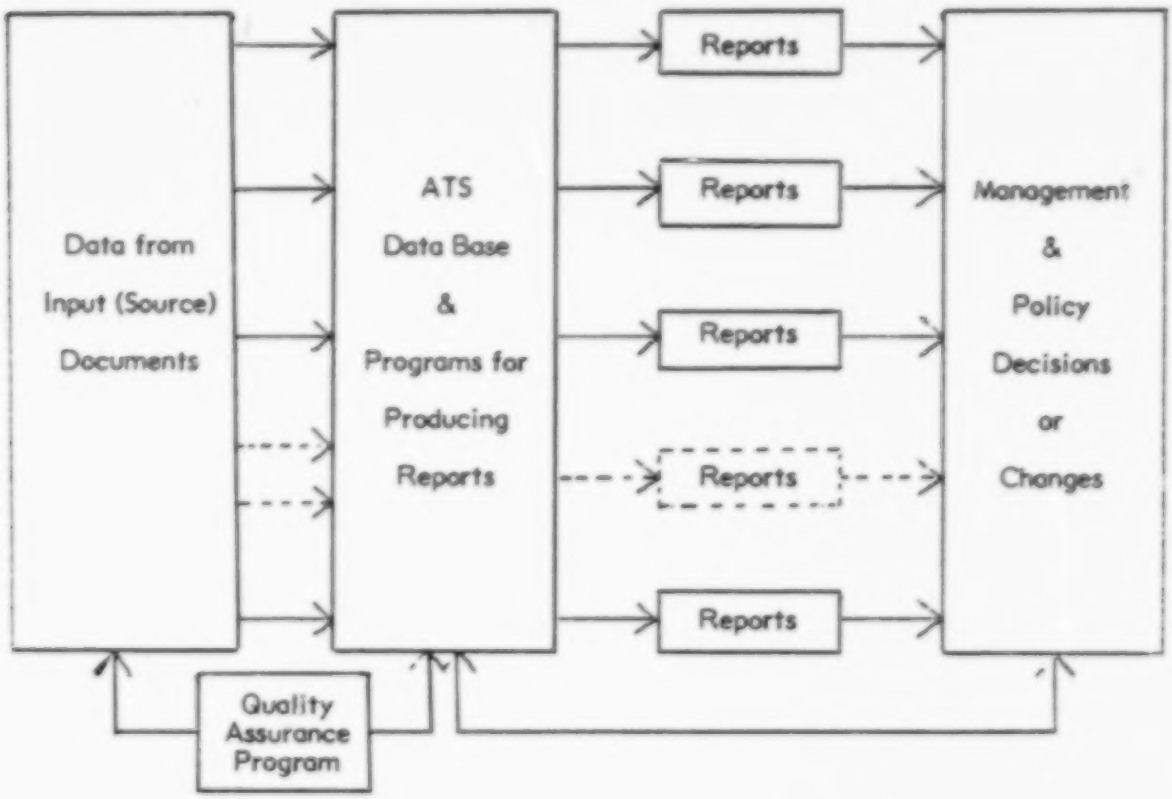
Following the initial training, data entry started in June 1983. As had been anticipated, dBase II was found to be simple to use for data entry, editing, updating and generating certain types of reports--specifically, lists. The more statistically oriented reports, such as cross-tabulations, took more programming. These reports were more difficult to generate in dBase II. Thus, a decision was made to use the Basic programming language to produce the latter types of reports so that they could be formatted as users required.

CURRENT OPERATIONAL CHARACTERISTICS OF THE CHILD DAY CARE APPLICANT TRACKING SYSTEM

The application or "applicant" tracking data base derives its information from input documents: the application for child day care subsidy and associated forms. Selected data items from these forms are entered (keyed) into the data base as application forms are received--usually on a daily basis. The information in the data base is

summarized in reports produced through the software available on the IBM-PC microcomputer (dBase II and Basic). These reports are produced on an ad hoc (as needed) basis or on a monthly schedule.

What follows is a diagramatic representation of the operational characteristics of the Applicant Tracking System:



As the diagram above shows, an important part of the Applicant Tracking System is a series of computer programs that have been written to ensure that the data maintained in the system accurately reflects data on the applicants' forms as these forms are processed. It is for this reason that the ATS Quality Assurance Program was established.

INPUT DOCUMENTS (FORMS)

The following is a list of the forms which serve as source documents for data entered onto the Applicant Tracking System along with the coding instructions:

1. Form HC13305-1: Application for Services - Instructions for Completing
2. Form HC13305-2: Application for Services
3. Form HC10215: Determination of Financial Eligibility
4. Form HC13030: Child Day Care Authorization
5. Form HC13310: Day Care Waiting List Questionnaire
6. Form HC8997: Day Care Client Data Sheet

In addition to these forms, there are instructions for coding the data entered onto the Applicant Tracking System (ATS).

Samples of these documents are attached. See Appendix A.

CONTENT OF THE DAY CARE APPLICANT TRACKING SYSTEM

A. The Subsystems

The Hennepin County Community Services Child Day Care Applicant Tracking System actually consists of several physically separate data base subsystems which have emerged from the original main data base. These data bases are:

1. The Main Applicant data base containing records of applicants with applications in the various stages of processing: found eligible, found ineligible and pending during a given month.

2. The Waiting List data base which contains records of those awaiting invitations to apply for child day care subsidy because they qualify for the Minnesota State Sliding Fee Funding as it becomes available.

3. The Registry of Day Care Clients in Training with data on when they are expected to complete their training.

4. A History File on all those who have applied for child day care subsidy during the past year containing information from their applications as it stood on the last day of the month in which they applied.

5. The Day Care Vendor data base. This subsystem is maintained on two separate files. One file is used to maintain names and numbers for vendors from whom County-subsidized clients are receiving child day care services at any point in time. The other maintains more detailed information on "centers" providing day care services to clients and includes such information as fees charged for the services, numbers and age groups of children cared for, and dates when their service contracts with the County expire.

These subsystems, together with all the programs in dBase II or Basic, which have been written to generate reports and the reports themselves, constitute the Hennepin County Community Services Department Child Day Care Subsidy Applicant Tracking System.

B. List of Data Items

What follows is a list of data items captured by the Main Day Care Applicant Tracking System and associated data bases:

- Applicant's Name
- Assigned Case Number
- Assigned Log Number
- Original Date of Application
- Date Applicant Called to Renew Request for Subsidy (Waiting List)
- Date of Eligibility Determination
- First Vendor Selected
- Second Vendor Selected
- Geographic Location of First Vendor Found
- Geographic Location of Second Vendor Found
- Reason for Seeking Child Day Care Subsidy
- Budget Code
- Application Disposition Code
- Full-Day Equivalents of Care Needed
- Type of Care Preferred
- First Location Preferred for Care
- Second Location Preferred for Care
- Applicant's Income

- Number of Infants Needing Care
- Number of Toddlers Needing Care
- Number of Preschoolers Needing Care
- Number of Latchkey Children Needing Care
- Location of Applicant's Residence
- County Case Aide Handling Application
- Previous Eligibility Status
- Date of Eligibility Expiration
- Date of Contract Expiration (Vendors)
- Vendor GPA
- Number of Slots in Center by Age Category of Child
- Vendor Type (Public or Profit Nonprofit)
- Rating or Score (History File Only)
- Waiting List Status (History File)
- Vendor Name
- Vendor Number
- Expected (Training) Completion Date
- Number of Slots Payed for by County (Vendor File)
- Rate Charged by Vendor (Vendor File)

SOME REPORTS GENERATED FROM THE APPLICANT TRACKING SYSTEM

The following table lists reports which are either currently available or which have been requested from the Child Day Care Applicant Tracking System:

Table 1: Some Reports from the Applicant Tracking System

	Report(s)	Language	Frequency
1.	Type of Day Care Preferred Versus Type of Care Found for New Applicants Found Eligible	Basic	Monthly
2.	Clients Found Ineligible	Basic	Monthly
3.	Reason for Application by Resolution for the Current Month	Basic	Monthly

Report(s)	Language	Frequency
4a. Day Care Waiting List Current Month (List by Date of Original Application)	dBase	Monthly
4b. Day Care Waiting List for Current Month (Alphabetic by Client's Last Name)	dBase	Monthly
5. Day Care Clients in Training	dBase	Monthly
6. Geographic Planning Area of Applicants Found Eligible Versus GPA of Vendor Found	Basic	Quarterly
7. Success Rate: Placement Versus Applicant's Choice	Basic	Monthly
8a. Alphabetic Index of Day Care Vendors	dBase	Weekly
8b. Numeric Index of Day Care Vendors	dBase	Weekly
9. Graph of Number of Applicants: Found Eligible, Ineligible or with Applications Pending	Lotus 1-2-3	Quarterly or Biennially
10. Applications Pending 21 Days or More	dBase	As needed

At this writing, most of these reports have either been put into production or are under development or revision. Since all data on the Applicant Tracking System are saved on disks containing one-month's worth of data, all the above will be produced for each of the past twelve months in order to provide summary or trend data for the day care subsidy program.

SOME BENEFITS OF THE COMPUTERIZED APPLICANT TRACKING SYSTEM

The Applicant Tracking System has been useful for three principal reasons:

1. It has provided information on trends in demand for child day care services for families or individuals who are eligible to receive a child day care subsidy from the County. Example: Reports #2, #3, #5 and #6. Such information is useful in

forecasting trends in demand for services subsidized and in setting priorities for the subsidy program.

2. It has provided data for managing or controlling access to day care services at a time when resources available for subsidy have been in short supply in Hennepin County. Example: Reports from the Waiting List and Clients in Training data bases. In fact, it would have been much more difficult to manage this access if it had not been for the microcomputer.

3. It has provided staff in the County's Community Services Department with some insight concerning what data elements to include in data bases being designed on the mainframe computer and how they should be coded so that they will be compatible with those on the Applicant Tracking System.

4. It has provided us with some insight regarding how we might approach the development of other microcomputer-based information systems in the future.

Other benefits are:

- Once the Applicant Tracking System was set up, the information on the system was very readily available for purposes of looking up and editing data as well as generating reports. The system has been used frequently for looking up information when applicants' files are not readily available.

- The system can be easily tailored to users' needs.

- The system is relatively easy to operate (by comparison with many current mainframe systems).

- The system can be operated <u>for the most part</u> without the assistance of highly trained or experienced technical staff or programmers.

- The system is flexible. When data requirements have changed, the structures of the data bases have been changed using as few as one or two dBase II commands. Changing data structures of mainframe computer systems has not been this easy.

- Data on the Applicant Tracking System can supplement or complement that stored on the County's mainframe computer. As was indicated elsewhere in this report, the mainframe was seen as a payment tool and the microcomputer a management tool. Thus, records on the mainframe hold information on children receiving day care subsidies; those on the Applicant Tracking System hold information on applicants, usually parents--including those found eligible (i.e., clients). Therefore, more comprehensive information on the day care subsidy program can be gained by harnessing data from both systems than from either one alone.

- When down-loading of information from the mainframe to microcomputers and up-loading of information from microcomputers to the mainframe is available at Hennepin County--and indications are that these will be available--then the power of both systems will greatly enhance our data processing capabilities for the day care and other programs. With these capabilities data entry and program design can be done locally on the microcomputers and sent to the mainframe only when ready to process or run, thus saving in mainframe connect time--particularly for data entry, editing of data bases and debugging computer programs.

SOME ISSUES AND PROBLEMS IN DEVELOPING THE APPLICANT TRACKING SYSTEM

A. The Need for User-Directed Design of Computer-Based Systems

The design and implementation of a computer-based system such as the one described in this report must begin with a definition by users (of the system) of their information needs or requirements. Specifically, users must delineate what information or reports they need to make management or planning decisions. Typically, an analyst from Data Processing "sits down" with the users to assess their information needs first in general terms and subsequently in terms of specific data elements. In this way, decisions can be made about data base structure, reports to be produced and source documents or forms to be used in capturing the data. This phase of data-base system development might be termed: The Determination of User Requirements and Expectations.

Another important consideration at this stage is the need to acquaint prospective users of the information system with the capabilities of the software and

hardware to be used for maintaining the system and processing the data. This gives the users an idea as to the types of reports that can be readily produced and those that require more effort. On the basis of this knowledge, decisions can be made on scheduling the development of reports.

In the case of the Hennepin County Applicant Tracking System, some time was taken to work with users in defining their data and reporting needs. Based on those early discussions, the structure and content of the information system was determined. However, the limitations of the data base in terms of the type of reports which were later requested by users were not realized at the outset. For example, reports based on children receiving or needing a subsidy were requested whereas the data base was parent-oriented. Thus, during the first three months of the development process, several modifications were made to the structure and content of the data base: Data items were added or dropped, new codes were introduced and report formats were changed. For these reasons, the reports produced during the first three months (the "learning phase") of the project are not quite compatible in terms of content to "similar" ones which were produced in subsequent months. A major attempt to restructure the main tracking data base was abandoned because the implied data base structures were either intractable or the usefulness of large portions of the historic files would have been greatly diminished for purposes of discerning trends.

B. User Expectations About Development Time

Because development of the Applicant Tracking System started several months later than was scheduled due to staffing changes within the Community Services Department, its prospective users were not provided the time to get familiar with the capabilities of the hardware and software to be used in operating it. For this reason, users were not certain as to what they could realistically expect the micro-computer system to do for them. However, this has changed in the past several months. In a related matter, expectations of how much time it would take to develop the system were not realistic. For example, the 20 percent FTE allotted for an analyst or programmer to do the initial development and turn the system over to the users was insufficient. In retrospect, it seems that 40 percent for 9 to 12 months would have been more adequate. Moreover, a need to train an additional data entry clerk to act as "back up" for the primary data entry person

was identified early in the development process. Thus, an additional data entry person was trained.

C. The Quality Assurance Problem

Another important problem that was encountered during the first six months of the project has to do with maintaining the quality of the data on the Applicant Tracking System. Sometimes results from reports generated from the system were incompatible with similar reports from the mainframe computer (i.e., for applicants found eligible). Moreover, some reports produced either from the system or manually to check the consistency or completeness of the data on the Applicant Tracking System frequently showed that data on the system was incomplete. The principal source of this problem was found to be that after initial loading of information from the applications onto the system, subsequent changes on the applications were frequently not reflected on the Applicant Tracking System. Thus, a process needed to be developed to ensure that the data entry staff were apprised of any changes to the status of an application or if new information was added to it.

In order to minimize this problem, management procedures were established to ensure that the data on the system is current. Specifically, when information on the source documents (forms) changes, one of the source documents is filled out again and resubmitted to the data entry staff. Thus, the data entry staff are notified of the changes through this form. In addition to this procedure, selected data items on a 5 percent to 10 percent sample of the current day care subsidy applicant file is compared to that on the source documents for corresponding records.

If the discrepancies between the two exceed 15 percent of the total number checked, then all the selected data elements on all records on the current computer file are checked against those on the corresponding source documents and any discrepancies are reconciled. When the discrepancies number less than 15 percent of the total number of data items checked, then only the discrepancies identified are reconciled. Initially, this was done on a monthly basis, but because of the time it took to do the checking, it is now done approximately every other month unless substantial inconsistencies are perceived in the data in the reports produced.

The procedures outlined above ensure that data on the Applicant Tracking System computer files is largely consistent with that on the source documents.

D. Limitations Due to Available Software

A problem associated with the Applicant Tracking System arising from the software and hardware currently being used for data entry and analysis has to do with forging an interphase between the Basic and dBase II programming languages. Some of the reports, particularly those produced using Basic, require that intermediate files be created from the dBase II data bases and passed on to the Basic subsystem for processing and report generation. With the software and hardware configuration which we have now, data extracts in the form of standard ASCII data files (comma delimited) must be created in dBase II first before the Basic programs are run. Before running the Basic programs, one must log off or "quit" from dBase II and branch to the Basic subsystem. Automatic branching from dBase II to Basic and back again to dBase II is not available on the IBM-PC. This has slowed down the project programmer's efforts to turn over the production of some of the reports to the primary users of the system, e.g., the data entry staff. In order to solve this problem, a new version of dBase, i.e., dBase III, has been ordered which will allow the branching required. In this way, it is hoped that some of the programmer's time will be freed and allotted to the task of developing new reports--including those involving graphics.

In connection with software, the point must be made that running programs in Basic using the Basic interpreter is a "slow" process by comparison with some programs run using dBase II. A solution to this problem may be to acquire and use a basic compiler to run the programs written in Basic. This option will be explored further in the near future by the project staff.

E. Training Primary Users

In order to ensure that the Applicant Tracking System operates smoothly, some time had to be taken to provide training to the data entry staff on using dBase and DOS on the IBM-PC. This training or more properly, technical assistance, has been provided on an ongoing basis in addition to the initial training provided to new users of micro-computers by Hennepin County's Personal Computer Center.

The latter are available on disks and new users can take them at their own paces. The continuing training has been necessary as new files, new programs, new software or new versions of existing software have been introduced. The point that should be emphasized in this connection is that some time and effort must be expended or set aside for ongoing technical assistance to users of a system such as the one described in this report.

F. Data Security and Access Control

Among the most important considerations in developing and operating an information system such as the Hennepin County Day Care Applicant Tracking System is the imperative to restrict access to data stored on the system to those who are authorized to review or change it. The system contains private data on individuals in the community and thus access to it is restricted by the Minnesota Data Practices Act (M.S. 13). Our procedures for securing the data have included providing physical security for the diskettes containing the data and programs used to analyze it. This has involved keeping the diskettes in locked file cabinets or drawers when they are not being used by the project staff. Other procedures have involved limiting access to the information by providing password controls. The specific software currently being used for this is PC Lock II from MMPi, LTD. This software is being used on a "test" basis until other security software has been evaluated and recommended by Hennepin County's Information Services (Data Processing) personnel for use on the County's personal computers.

PC Lock II provides a combination of software and hardware electronic file access controls for those Applicant Tracking System files which contain private data. In order to use these files, one must provide a valid password. Several levels of access have been established. The first level provides "SUPER USER" access to the system. The SUPER USER logs onto the system with a "level 3" password. This is the highest level of access; it provides complete computer access at all times. In addition, it allows access to the routines for changing or assigning passwords. The remaining password levels have the following limitations:

Level 2 - Read/Write Access to Files
Level 1 - Read Only Access
Level 0 - No Access to Protected Files

PC Lock II also provides data encryption and copy protection of files containing private or sensitive data. One limitation of PC Lock II's encryption feature is that although it encrypts dBase II files, these files are not useable by dBase in their encrypted form. They must be decrypted before use. Thus, the encryption is not transparent to dBase II. Encrypted Basic data and program files, however, can be used in their encrypted form, the encryption is transparent to the Basic subsystem.

It must be noted that the primary impetus for incorporating password protection procedures and software/hardware into the Day Care Applicant Tracking System (ATS) came from the Hennepin County Board of Commissioners who early in 1984 adopted a policy prohibiting all entry of data of a private nature onto the County's personal computers until software was available to protect it. This action was taken after the ATS was in its tenth month of operation.

G. Backup and Recovery

Manually initiated backup procedures have been implemented in order to assure that data and program files are not lost inadvertently or by design. Typically, backup copies are made after every update or editing session.

H. The Problem of Managing a Microcomputer-Based Applicant Tracking System in a Mainframe Environment

The introduction of a micro-computer in the operation of the Day Care Subsidy Program in Hennepin County's Community Services Department has had some impact in the jobs of those using it to load data and produce reports. For example, it has caused some adjustment in the procedures for handling the application forms. More importantly, however, the staff operating the system have had to learn new skills: How to operaté the computer using the Disk Operating Subsystem (DOS), dBase, Basic, Lotus 1-2-3, Wordstar and PC Lock II. Procedures have had to be developed for ensuring that the system functions smoothly.

In addition, it has become clear to us that someone on the Day Care Project must try to keep abreast of new developments in the world of micro-computer

hardware/software. In this way, if a need to improve existing subsystems or to develop new ones arises, the best affordable software or hardware can be acquired.

Finally, and perhaps most importantly, in order to enable the Community Services Department to make optimal use of the data it collects through the Applicant Tracking System and related systems, there needs to be someone to frequently examine ways to analyze the data for purposes of managing the Child Day Care Subsidy Program and planning the management of client access to day care services in the County. Such an individual would obviously have to have some orientation to data bases and automatic data processing. In addition, the person would need to consult on a regular basis with those in the department with additional knowledge of operation of micro-computer systems, statistical analysis and data processing. The department would have to provide the necessary training for such an individual so that he/she can manage the data base.

In retrospect, it appears to us now that many of the problems we have experienced in developing the ATS were due to a lack of clear definition on who was to keep close track of the data base. Some of these problems, e.g., quality assurance problems, data access and security problems and "unrealistic" estimation of system development time could have been anticipated and planned for. As it happened, no specific individual was assigned to address such issues. While it is true that such issues are continually and categorically addressed by administration and data processing personnel for information residing on the County's mainframe computer, these activities are often transparent to the user. Thus as a user-developed system residing on a microcomputer, the ATS did not include these components. Problems were addressed as they occurred.

In all fairness to the project staff, however, our lack of familiarity with microcomputer-based systems contributed somewhat to the problems.

SOME DISADVANTAGES OF MAINTAINING DAY CARE APPLICANT DATA ON A STAND-ALONE MICROCOMPUTER SYSTEM

A. Some Disadvantages

1. Multiple Entry of Data - Perhaps major disadvantages of our Day Care Applicant Tracking System is that it causes data on some applicants to be loaded at least twice on separate computer systems. In particular, data on those applicants who are found eligible for child day care subsidy and become "clients" must be loaded on the County's Community Services payment system and on the Community Services Information System (CSIS). The latter is the central information system for the Hennepin County Community Services Department and is intended to hold client identifying information, as well as service and payment information. Thus, the system has introduced some inefficiencies and some redundancy in the department's data processing system and data bases.

2. Parallel Operation of a Manual and Computerized Applicant Tracking System - The computerized Applicant Tracking System captures selected data elements from an applicants' documents (e.g., application forms). There are many data items on these forms that it does not capture. Those data items which are not included on the computerized data based are maintained manually on card files and "log" sheets. As a result, two data bases, one manual and the other computerized, are maintained or operated in parallel.

3. Some Limitations in Accessibility of the Applicant Tracking System Data - The IBM Personal Computer on which the Applicant Tracking System is maintained is also used for other purposes--for example, maintaining other data bases, spreadsheet analysis and developing computer programs. Thus, when there is a need to retrieve data quickly, say in response to a telephone inquiry from an applicant or Community Services Department personnel, it is occasionally, not possible to gain instant access to the data on the system.

B. Some Proposed Solutions

The problem of multiple entry of data might be addressed when uploading or downloading is available on Hennepin County computers. In this way, the data

bases can be configured to share data. The problem of parallel operations may be addressed by expanding the Applicant Tracking System data base to include more data items.

The accessibility could be enhanced either by acquiring an additional personal computer or by acquiring multi-user dBase III with two or more terminals or work stations. Meanwhile, there are other microcomputers in the Department which can be used if a dire need arises to look up data on the ATS or to generate reports.

CONCLUDING REMARKS

The Hennepin County Application Tracking System has been operational since June 1983. It has maintained data derived from several forms which are part of the application package. The System has assisted the County's Community Services Department to keep track of the status of each application for day care subsidy. In addition, it has had the following impact:

1. Reports generated from the System have enabled the Department to chart trends in local demand for day care services in a more definitive way than ever before. Such information is being used in forecasting demand for the services as well as in planning and budgeting in connection with the subsidy program. The information is also used in the process of priority setting for the program.

2. The System has also assisted the Hennepin County Community Services Department to manage access of applicants to day care services under conditions when resources for these services are limited at the County level. Managing this access to services has been accomplished using a computerized waiting list of eligible applicants as eligibility criteria have changed to reflect changes in availability of resources. In fact, if would have been much more difficult to manage this access if it had not been for the micro-computer.

3. It has provided staff in the County's Community Services Department with some insight concerning what data elements to include in data bases being designed on the mainframe computer and how they should be coded so that they will be compatible with those on the Applicant Tracking System.

4. It has provided us with some insight regarding how we might approach the development of other microcomputer-based information systems in the future.

It has some disadvantages or limitations such as multiple entry of data, causing a multiplicity of ways of recording data and occasional limitation in accessing data quickly--as discussed in the previous section.

Despite this, the benefits we have derived from it far outweigh the disadvantages.

HC 13305-1 (2/84)

Source/Input Documents

HENNEPIN COUNTY COMMUNITY SERVICES DEPARTMENT

APPLICATION FOR SERVICES — INSTRUCTIONS FOR COMPLETING

(Remove This Sheet Before Filling in Form)

1. In order to receive services from the Community Services Department, you must complete the "Application for Services." You will be informed of whether or not you qualify for services after you complete the application process.

2. If you have questions about completing this form, feel free to contact your agency worker.

3. You have a number of RESPONSIBILITIES as an applicant for services from our agency. These are:
   - TO FULLY REPORT CIRCUMSTANCES WHICH MAY EFFECT YOUR APPLICATION FOR SERVICES.
   - TO PROVIDE VERIFICATION OR PROOF OF THE INCOME YOU DECLARE, IF REQUIRED.
   - TO REPORT ANY CHANGES IN YOUR CIRCUMSTANCES THAT MIGHT IMPACT YOUR ELIGIBILITY.

4. You also have a number of RIGHTS in regard to your "Application For Services." These are as follows:
   - **RIGHT TO INFORMATION:** You have the right to be informed of all services available to you in the Community Services Department.
   - **RIGHT TO APPLY FOR SERVICES:** You have the right to apply for any of the agency's service programs.
   - **RIGHT TO PROMPT ACTION ON SERVICE APPLICATION:** You have the right to have your application acted upon within 30 days unless extenuating circumstances exist, in which case the action on the application must occur within 45 days.
   - **RIGHT TO ACCESS YOUR RECORDS/CIVIL RIGHTS:** You should refer to the Equal Access/Data Practices Brochure (HC 12848) for an explanation of access to your records and for a description of your civil rights.
   - **RIGHT TO APPEAL ABOUT SERVICES:** If you feel you have been unfairly denied or excluded from a service program, not given your choice of service, or told you must participate in a service program which you don't want, you may request a fair hearing. An appeal may be initiated by contacting the Hennepin County Community Services Department, A1005 Government Center, Minneapolis, MN 55487, or from the Appeals Office, Department of Public Welfare, Centennial Office Building, St. Paul, MN 55155.

5. The following CODES should be used to complete the "Family Member", "Marital Status", "Race", "Physical Handicap" and "Non-Physical Handicap" columns on the form. Your completion of "**Race**", "**Physical Handicap**" and "**Non-Physical Handicap**" categories is **optional**, and the **information is private.** This data is gathered to determine the compliance of this agency with the laws against discrimination based on race or handicap. "Physical Handicap" is abbreviated "P HDCP", "NON-PHYSICAL HANDICAP" is abbreviated "NP HDCP", and marital status is abbreviated "MAR CODE" on the application form. The question on "**Marital Status**" is not optional.

1. FAMILY MEMBER

01 - Male Householder (Father/Single, Adult Male)
02 - Female Householder (Mother/Single, Adult Female)
03-20 - Children (use 03 for the oldest child, 04 for the next oldest child, etc.)
21 - Stepfather
22 - Stepmother
23 - 40 - Other Family Members (e.g., grandparents, aunt, or uncle)

2. Marital Status (MAR CODE)

SN - Single, Never Married
DV - Divorced
WD - Widow(ed)
ML - Married and Living with Spouse
MS - Married but Separated from Spouse without Legal Action
LS - Legally Separated
MP - Married but Involuntarily Separated

3. RACE

10 - Black
20 - Caucasian
30 - American Indian — Tribal Affiliation Not Reported/Unknown
31 - American Indian — Chippewa Tribe
32 - American Indian — Sioux Tribe
33 - American Indian — Winnebago Tribe
39 - American Indian — Other Tribe
40 - Indochinese
50 - Hispanic
60 - Oriental/Pacific Islander
70 - Other

4. PHYSICAL HANDICAP ((P HDCP)

X - None
A - Speech Impaired
B - Hearing Impaired
C - Cerebral Palsy
D - Muscular Dystrophy
E - Vision Impaired
F - Cancer
G - Diabetes
H - Epilepsy
I - Multiple Sclerosis
J - Orthopedic Impairment
K - Heart Disease
L - Emphysema
M - Other (Specify):

5. NON—PHYSICAL HANDICAP (NP HDCP)

X - None
A - Mental Retardation
B - Mental Illness
C - Emotional Problems
D - Specific Learning Disability
E - Chemical Dependency
F - Other (Specify)

HC 13305-2

HENNEPIN COUNTY COMMUNITY SERVICES

* USE THE CODES SHOWN ON PAGE ONE INSTRUCTIONS TO COMPLETE MARKED COLUMNS.

APPLICATION FOR SERVICES

AGENCY ONLY	* FAMILY MEMBER 01/MALE HSHLDR	CLIENT LAST NAME	FIRST NAME	MI	SEX MALE	SEX FEM	*MAR. CODE	*RACE CODE	* PHYS. HDCP CODE	*NON PHYS. HDCP CODE	BIRTH DATE MONTH / DAY / YEAR
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		
AGENCY	* FAMILY 02/FEM. HSHLDR	CLIENT LAST NAME	FIRST NAME	MI	MALE	FEM	* MAR	* RACE	* P.HDCP	*NP.HDCP	BIRTH DATE / /
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		
AGENCY	* FAMILY 03	CLIENT LAST NAME	FIRST NAME	MI	MALE	FEM	* MAR	* RACE	* P.HDCP	*NP.HDCP	BIRTH DATE / /
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		
AGENCY	* FAMILY 04	CLIENT LAST NAME	FIRST NAME	MI	MALE	FEM	* MAR	* RACE	* P.HDCP	*NP.HDCP	BIRTH DATE / /
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		
AGENCY	* FAMILY 05	CLIENT LAST NAME	FIRST NAME	MI	MALE	FEM	* MAR	* RACE	* P.HDCP	*NP.HDCP	BIRTH DATE / /
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		
AGENCY	* FAMILY 06	CLIENT LAST NAME	FIRST NAME	MI	MALE	FEM	* MAR	* RACE	* P.HDCP	*NP.HDCP	BIRTH DATE / /
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		
AGENCY	* FAMILY 07	CLIENT LAST NAME	FIRST NAME	MI	MALE	FEM	* MAR	* RACE	* P.HDCP	*NP.HDCP	BIRTH DATE / /
STREET ADDRESS		CITY			ZIP CODE		PHONE		SOCIAL SECURITY NO.		

WITH WHAT PROBLEMS DO YOU NEED HELP?

WHICH SERVICES DO YOU NEED TO RESOLVE PROBLEMS?

HAVE YOU RECEIVED THE EQUAL ACCESS DATA PRACTICES BROCHURE (HC 12848)? ☐ NO ☐ YES IF YES INITIAL _____

HAVE YOUR RIGHTS AND RESPONSIBILITIES (INCLUDING APPEAL) BEEN EXPLAINED TO YOU? ☐ NO ☐ YES

APPLICANT STATEMENT: I hereby affirm that the foregoing data is accurate, complete and true to the best of my knowledge. I have received the statements of Rights and Responsibilities included on the Page one, Instruction Sheet. I understand that my eligibility for services may be based upon my income and may be reviewed at least every six months. I agree to notify the Agency of any changes in circumstances which may affect eligibility for services.

Applicant/Agent Signature _____ Date _____ HC Agency Representative Signature _____

If someone other than applicant has signed above, indicate reason and relationship to client _____

FOR AGENCY USE ONLY

APPLICATION DISPOSITION ☐ INELIGIBLE ☐ SERVICE NOT AVAILABLE ☐ SERVICE NOT NEEDED ☐ CASE OPENED DATE / /

CASE NO. ☐ FEES N/A ☐ FEES APPLY $ DOLLAR AMOUNT OF FEE

Which Program received the application (See CSIS code book)?	Which program opened this case?	Referred to	CLIENT NOTIFICATION SENT ON DATE / / BY INITIALS

If the service to be provided is other than Category I (See "Fee Service" in Agency Policy Manual), Hennepin County Determination of Financial Responsibility (HC 10215) must be completed and turned in.

RECORD COPY

HENNEPIN COUNTY COMMUNITY SERVICES

HC 10215 (2/84)

Determination of Financial Eligibility

This form must be completed when services other than Category I are to be provided and/or when there is a change in the client's financial status.

4 SHADED BOXES BELOW FOR DETOX USE ONLY

☐ New Admission ☐ Redetermination	Admission Time	Discharge Time		
	Date of Decision	Discharge Date	Service Case No.	
Program	Sub-Program	Eligibility Det. Date	Admission Date	Client No.

PART 1: CLIENT IDENTIFICATION

Client Name (Last) (First) (MI)	Billing Name (If Different)
Client Street Address Apt. No.	Billing Address (If Different)
City State Zip Code	City State Zip Code
Birthdate / Social Security Number	Spouse Name (If Applicable) / Head of Household SS No.

PART 2: ELIGIBILITY DETERMINATION

Residency

Resident of (Specify if other county or state by name)
- ☐ Hennepin County, Minn.
- ☐ _____ County, Minn.
- ☐ _____ County, _____ State

- ☐ Placement Agreement—Voluntary
- ☐ Placement Agreement—Court-Ordered
- ☐ Child Support—Court Ordered

Financial Responsibility

- ☐ Public Assistance Recipient ☐ MSA ☐ SSI ☐ AFDC ☐ GA — ☐ Application Pending — Case/ID Number
- ☐ Public Insurance Coverage ☐ GAMC ☐ Medicaid ☐ Medicare — ☐ Application Pending — Case/ID Number

Are you an adult caretaker of children who receive AFDC? ☐ No ☐ Yes	Is private or commercial insurance coverage available? ☐ No ☐ Yes If "yes" is checked, attach Assignment of Benefits form (HC 12997).	Employer Address City Phone

PART 3: SLIDING FEE LIABILITY DETERMINATION

Preliminary Liability Determination

A. Number of family members in household	
B. Client's annual gross family income (See reverse side, Part 1.)	$
C. Preliminary maximum liability for each month in which services are received is	$

Note:
1. If applicable, complete Income Chart on reverse side.
2. If clients have insurance coverage, the insurance company will be billed for total charges. The clients will be liable for any charges not covered by insurance based on their monthly liability determination.

PART 4: CLASSIFICATION OF CLIENT STATUS

Free Service
- ☐ A-1 Public Assistance or Public Insurance recipient with no residual liability.
- ☐ A-2 Gross Family Income is below the free service cutoff for family size.
- ☐ A-3 Resident of another Minnesota County and a Placement Agreement was obtained. (Attach Placement Agreement.)
- ☐ A-4 Resident of another State and a Placement Agreement was obtained. (Attach Placement Agreement.)

Service at a Fee
- ☐ B Sliding Fee—Eligible for services at a fee based on the sliding fee scale.
- ☐ C Full Pay—Pay full cost for services because of failure to provide financial information or failure to sign Determination form.

PART 5: DECLARATIONS

I declare that the above information is accurate and complete to the best of my knowledge. I understand that: 1) this information will be used to determine the fee I must pay for services; 2) if this information is not substantially accurate, I may be required to pay up to the full cost of services, or services may be terminated; 3) I am liable to and agree to pay to Hennepin County a fee for services as determined by the Sliding Fee Policy and Tables and confirmed by the Accounting section.

I also understand that this information is protected by the Minnesota Data Practices Act. This information and related information from treatment records may be shared as necessary with other state/county social service and welfare agencies, designated insurance companies, and automated billing services for the purposes of determining financial responsibility, assessing charges for service, and to facilitate collection activities. This information may be released to other parties or for other purposes only by my specific written authorization, or as authorized by State or Federal law.

Client Signature	Date	Program Representative Signature	Date

Turn to back of pink copy to complete income chart.

INCOME CHART (READ "DEFINITIONS" SECTION BELOW BEFORE COMPLETING THIS CHART)

PART 1.

Income (List all family members over age 14)

Type of Income (Annual)	Name	Name	Name	Name	Name	Name	Name	Name	Annual Gross Amount
Wages or Salary									
Net Income from Self-Employment									
Net Farm Income									
Social Security									
Dividends, Interest, Rental, Royalties									
General Assistance									
Pensions and Annuities									
Unemployment Compensation									
Worker's Compensation									
Alimony									
Child Support									
Veterans Pensions									
SSI									
Other-Describe									
TOTAL									*

* Transfer to Part 3 of Determination Form, Preliminary Liability Determination, Item (b)

DEFINITIONS

PART 2.

Gross Family Income—

1. **Wages or salary**—total money earnings received for work performed as an employee including wages, salary, Armed Forces pay, commissions, tips, piece-rate payments, and cash bonuses earned, before deductions are made for taxes, bonds, pensions, union dues, and similar purposes.
2. **Net income from self-employment**—gross receipts minus expenses from one's own business, professional enterprise, or partnership. Gross receipts include the value of all goods sold and services rendered. Expenses include costs of goods purchased, rent, heat, light, power, depreciation charges, wages and salaries paid, business taxes (not personal income taxes), and similar costs. The value of salable merchandise consumed by the proprietors of retail stores is not included as part of net income.
3. **Net farm income**—gross receipts minus operating expenses from the operation of a farm by a person on his own account, as an owner, renter or sharecropper. Gross receipts include the value of all products sold, government crop loans, money received from the rental of farm equipment to others, and incidental receipts from the sale of wood, sand, gravel, and similar items. Operating expenses include cost of feed, fertilizer, seed and other farming supplies, cash wages paid to farmhands, depreciation charges, cash rent, interest on farm mortgages, farm building repairs, farm taxes (not State and Federal income taxes), and similar expenses. The value of fuel, food, or other farm products used for family living is not included as part of net income.
4. **Social Security** includes Social Security pensions and survivors' benefits paid by the Social Security Administration prior to deductions for medical insurance and railroad retirement insurance checks from the U.S. Government.
5. **Dividends, interest, rental, royalties** include dividends from stockholdings, or membership in associations, interest on savings or bonds, periodic receipts from estates or trust funds, net income from rental of a house, store or other property to others, receipts from boarders or lodgers, and net royalties.
6. **General Assistance**—monies received from the General Assistance program in the form of assistance payments.
7. **Pensions and Annuities** include pensions or retirement benefits paid to a retired person or to that person's survivors by a former employer or by a union, either directly or through an insurance company; periodic receipts from annuities or insurance.
8. **Unemployment Compensation** means compensation received from government unemployment insurance agencies or private companies during period of unemployment and any strike benefits received from union funds.
9. **Worker's Compensation** means compensation received periodically from private or public insurance companies for injuries incurred at work. The cost of this insurance must have been paid by the employer and not by the person.
10. **Alimony**
11. **Child Support**
12. **Veterans pensions** means money paid periodically by the Veterans Administration to disabled members of the Armed Forces or to survivors of deceased veterans, subsistence allowances paid to veterans for education and on-the-job training, as well as so-called "refunds" paid to ex-servicemen as GI insurance premiums.
13. **SSI**. Supplemental Security Income is a federally administered program which provides income to the aged, blind and disabled.

Family Household Unit—

1. Household means two or more persons related by marriage and/or, if under the age of 18, by blood or adoption, and residing in the same domicile. See Department Program Manual for clarification regarding stepparents/stepchildren.
2. Family members temporarily absent from the household for whom the family claims financial responsibility for tax purposes are considered members of a household.
3. Related individuals, other than spouses, who are over the age of 18 are considered **separate** households regardless of whether they are dependent or independent of the family income **unless** the household claims financial responsibility for tax purposes.
4. An individual living alone or with unrelated persons is considered a one-person household.

HC 13039 (3/84)

FILE: F

CHILD DAY CARE AUTHORIZATION

(SEE INSTRUCTIONS ON REVERSE SIDE)

LAST NAME OF VENDOR			LAST NAME OF CHILD(REN)		
DATE SENT TO VENDOR					
VENDOR TYPE ☐ IN-HOME ☐ FAMILY ☐ CENTER					
VENDOR NAME		PHONE	PARENT'S NAME		PHONE
STREET ADDRESS			STREET ADDRESS		
CITY	STATE	ZIP CODE	CITY	STATE	ZIP CODE
SERVICE WORKER			ELIGIBILITY CODE	50% RULE CODE	
LOCATION		PHONE	CURRENT APPLICATION DATE		

CHILD IDENTIFICATION

(You must apply thirty [30] days before service authorization ends if you want service to continue beyond original expiration date.)

NAME	BIRTH DATE	CASE NO. & SUFFIX	CARE CODE	SERVICE AUTHORIZED FROM	TO	HOURS/WK

COMMENTS AND/OR EXPLANATION OF SERVICE AUTHORIZED FOR EACH CHILD

SERVICE AUTHORIZATION

SERVICE WORKER (ONLY FOR RESTRICTED)	PHONE	SIGNATURE DATE
PROGRAM SUPERVISOR (ONLY FOR SPECIAL NEEDS)	PHONE	SIGNATURE DATE

After this form is signed below by the verification worker and the client you are authorized to provide child day care for the above named children for the above described hours. This authorization remains in effect for the above dates ONLY: if the parent(s) eligibility continues and the child(ren) remain(s) with the vendor stated at the top. If the parent(s) choose(s) another vendor, a new authorization would have to be completed before payment can be considered. Bills for child day care must be submitted on the county billing form (HC 13041) and sent to: Hennepin County Community Service Department, Accounting Division A-900 Government Center 300 South 6th Street, Mpls., Minn. 55487. To obtain a supply of these billing forms call 348-4587.

PAYMENT AUTHORIZATION

I hereby authonze child day care service and I have verified that the vendor has the appropriate license or contract to provide this service.

VERIFICATION WORKER	PHONE	SIGNATURE DATE
PARENT SIGNATURE		

WHITE — *VERIFICATION UNIT* **CANARY** — *VENDOR* **PINK** — *SERVICE WORKER* **GOLD** — *PARENTS* **TAG** — *ACCOUNTING*

INSTRUCTIONS ON HOW TO COMPLETE THIS FORM

Purposes:
The purposes of this form are:

1. Provide a referral to The Verification Unit by Community Services Department service workers for clients who need child day care as a part of the social workers overall service plan for their client.
2. Authorize a child day care vendor to provide service ONLY AFTER The Verification Unit worker has signed the form authorizing the care.
3. Notify the parent that child day care has been authorized.
4. Provide a base on which accounting can monitor the bills submitted later by the vendor.
5. Provide the service worker with a record of care authorized.
6. Furnish data to monitor types of child day care requested/provided.

Vendor Identification:
Before any authorization is given, the vendors full name, address and phone number must be accurately completed so the verification worker can determine if the vendor is under contract to provide care. Clients are usually responsible for contacting the vendor(s) themselves to determine who/what type of child day care they want. In the case of Special Needs child day care, the client would work in partnership with a Hennepin County Social Worker to select a vendor.

Parent Identification:
The Social Worker or Verification Worker should PRINT the parents' full name and address to avoid errors. The parent eligibility code, 50 percent rule code, current application date, should be obtained from the most recent eligibility determination or redetermination on the DPW form 2140/2141.

Child Identification:
Only each child for whom child day care is requested should be shown on this form. PRINT the child(ren)'s name, birthdate, case number and suffix. A wrong case number or suffix will cause payment errors. Next, in the grey service authorization section (Note: the actual authorization, as such, is separate and is shown in the next section below), you should identify under "FROM — TO" the starting and ending child day care eligibility dates. These dates could be shorter than the parents eligibility for social service — But the dates could never start before or end after the parent service eligibility does. The "HOURS/WEEK" refers to the **actual** time the parents are employed or in training. The "EXPLANATION" section means — if you are requesting care beyond the time the parent is employed or in training — you should explain why, e.g. X amount for travel time. Care Requested thus becomes a total of actual hours parent employed or in training **plus** time in explanation section.

Authorization:
The only person who can authorize child day care is the verification worker. The verification worker cannot authorize child day care BEFORE the last application or reapplication date; nor can the verification worker authorize any child care for more than six months at which time (or before if appropriate) the plan/ eligibility must be reviewed.

IF YOU HAVE ANY QUESTIONS ABOUT THIS FORM, CALL THE VERIFICATION UNIT SUPERVISOR ON 348-5970.

FOR AGENCY USE ONLY

DAY CARE BUDGET CATEGORY CODE (FIELD 4)

	CENTRALIZED INTAKE	OPEN ENROLLMENT
WIN	1	4
NON-WIN	2	5
OTHER	3	6

REASON FOR CARE CODE (FIELD 5)

College	F.T.	A
	P.T.	B
Other Training	F.T.	C
	P.T.	D
Employed	F.T.	E
	P.T.	F
GED/High School	F.T.	G
	P.T.	H
Job Search	F.T.	J
Special Need	F.T.	K
	P.T.	L
Other	F.T.	M
	P.T.	N

DAY CARE WAITING LIST QUESTIONNAIRE

DATE OF CALL

RANK/SCORE

CLIENT NAME (last name first)

LOGN

STREET ADDRESS

CITY,STATE

ZIP

TELEPHONE NUMBER

NAME OF SCHOOL

TRAINING PLAN/COURSE TITLE

AVAILABILITY OF JOB UPON COURSE COMPLETION

ANTICIPATED SALARY

EDUCATIONAL BACKGROUND

PREVIOUS TRAINING HISTORY

PREVIOUS EMPLOYMENT

NUMBER OF CHILDREN NEEDING CARE, AGES

CURRENT INCOME(Include AFDC, GA, SSI, wages, and other cash income)

SOURCE OF CURRENT INCOME

HC 13310

COMMUNITY SERVICES DEPARTMENT

HC 8997
Rev. 7/83

DAY CARE CLIENT DATA SHEET

Instructions: Form should be completed and returned with HC 13234 "Application and Initial Plan for Social Services" to: POS VU, A905 Government Center, Minneapolis, MN 55487

Your Name:	Spouse's Name:

1. Are you a citizen of the United States? YES ☐ NO ☐

   If no, what is your current immigration status? _____

2. If you had a choice, what type of day care would you most like to have for your children? (Check one or more)
   Babysitter in your home ☐ Family Day Care Home ☐ Day Care Center ☐

3. If you had a choice, where would you prefer your day care provider to be located? (Check one or more and give zip code)
   ☐ Other-Describe _____ ☐ Near Home: Zip Code _____
   Zip Code _____ ☐ Near Work: Zip Code _____

4. Complete this section if you and/or your spouse are employed.

INFORMATION NEEDED	YOU	SPOUSE
A. Place of Employment		
B. Date Started		
C. Employer's Phone No.		
D. Employer's Address		
E. Do your weekly hours include any weekend or split shift? (explain)		
F. Employment Hours	# Hours Per Day / TIME From (AM) To (PM) / # Days Per Week	# Hours Per Day / TIME From (AM) To (PM) / # Days Per Week
G. Gross Earnings	$_____ ☐ Week ☐ Bi-Weekly ☐ Month ☐ Semi-Month	$_____ ☐ Week ☐ Bi-Weekly ☐ Month ☐ Semi-Month
H. Travel Time To Work	HRS. MIN.	HRS. MIN.
I. Receiving AFDC?	☐ YES ☐ NO	☐ YES ☐ NO

ATTACH CHECK STUBS FOR ONE MONTH AND A SIGNED RELEASE OF INFORMATION FORM HC 1511

(OVER)

BEST COPY AVAILABLE

5. Complete this section if you and/or your spouse are in school or training.		
INFORMATION NEEDED	YOU	SPOUSE
A. Name of school or training center		
B. Date Started		
C. Type of Student	☐ Full Time ☐ Part Time ☐ Days ☐ Evenings	☐ Full Time ☐ Part Time ☐ Days ☐ Evenings
D. Goal of school or training program		
E. Anticipated length of enrollment		
F. Are you (check one)	Undergraduate Student _____ Graduate Student _____ Independent Studies _____	Undergraduate Student _____ Graduate Student _____ Independent Studies _____
G. Project HELP	☐ YES ☐ NO	☐ YES ☐ NO

ATTACH A SIGNED RELEASE OF INFORMATION FORM HC 1511

I hereby affirm that the foregoing statements are accurate, complete, and true to the best of my knowledge.

YOUR SIGNATURE: DATE:

BEST COPY AVAILABLE

CODE SHEET -- DAYCARE APPLICANT TRACKING

Day Care Budget Codes	
Project Help	1
Reserved	2
Centralized Intake	3
WIN	4
Training & Work	5
Other (Spec. Needs,etc.)	6

Day Care Type Code

In Home = 1
Family = 2
Center = 3

Reason for Care Codes	
College	A
College HELP	B
Other Training FT	C
Other Training & Work	D
High School	G
G.E.D.	H
Special Needs FT	K
Special Needs PT	L
Other FT	M
Other PT	N
Employed 20-24 Hours	P
Employed 25-30 Hours	R
Employed 31-35 Hours	S
Employed 35 + Hours	T
M.I.C.E.	W

CHILD DAY CARE APPLICANT DISPOSITION CODES

01 = Found Eligible

- - - - - - - - -

11 = Found ineligible - Insufficient hours working

12 = Found ineligible - Volunteer labor or salary below minimum

13 = Found ineligible - Income exceeds maximum

21 = Found ineligible - Training program disapproved

31 = Found ineligible - No longer working

32 - Found ineligible - No longer in training

33 = Found ineligible - Care no longer needed - Other reason

41 = Found ineligible - Application over 30 days old when received

42 = Found ineligible - Incomplete or inaccurate application

51 = Found ineligible - No vendor found/chosen

52 = Found ineligible - Working schedule does not match provider hours

81 = Found ineligible - Other reason

99 - Pending

APPENDIX B

Sample Reports From The Applicant Tracking System

* * * * * * * * * * APPLICATIONS PENDING 21 DAYS OR MORE * * * * * * * * * *

DATE OF APPLICATION	NAME OF APPLICANT	CASE AIDE	LOG NUMBER
830527		rh	3157026
830523		rj	3157009
830602		rh	3158020
830602		rh	3158042
830603		rh	3158049
830528		js	3158041
830510		rj	3158040
830520		rj	3158049
830601		mb	3160031
830526		ah	3160032
830602		js	3160029
830602		rh	3160030
830602		js	3160009
830528		mb	3160026
830603		ah	3160042
830602		rh	3161022
830603		rj	3161025
830602		rj	3161015
830527		mb	3161023
830602		js	3161016
830528		js	3161024
830602		rj	3161000

REASON FOR APPLICATION BY RESOLUTION

FOR JULY 1984

	New Applicants			Reapplicants	
Reason	Pending	Eligible	Ineligible	Eligible	Ineligible
College	2	0	0	0	0
College--Help	5	2	1	4	1
Other Training FT	36	14	18	5	2
Other Training and Work	0	0	0	0	0
Employed FT	4	0	0	0	0
Employed PT	0	0	0	0	0
High School	0	0	0	0	0
GED	0	0	0	0	0
Job Search	0	0	0	0	0
Special Needs FT	0	0	0	0	0
Special Needs PT	0	0	0	0	0
Other FT	0	0	0	0	0
Other PT	0	0	0	0	0
Employed 20-24 Hours	2	0	0	0	0
Employed 25-30 Hours	1	10	0	5	0
Employed 31-35 Hours	2	5	0	7	0
Employed 35+ Hours	111	57	28	64	9
MICE	0	0	0	0	0
Reason Unknown	2	0	0	0	0
TOTALS	165	88	47	85	12

REASON FOR APPLICATION BY RESOLUTION

FOR AUGUST 1984

	New Applicants			Reapplicants	
Reason	Pending	Eligible	Ineligible	Eligible	Ineligible
College	6	0	2	3	0
College--Help	28	0	0	3	0
Other Training FT	118	5	6	15	1
Other Training and Work	1	0	1	1	0
Employed FT	4	0	0	0	0
Employed PT	1	0	0	0	0
High School	2	0	0	9	0
GED	0	0	0	0	0
Job Search	0	0	0	0	0
Special Needs FT	0	1	0	21	0
Special Needs PT	0	0	0	8	0
Other FT	0	0	0	0	0
Other PT	0	0	0	1	0
Employed 20-24 Hours	2	0	0	0	1
Employed 25-30 Hours	4	5	0	13	0
Employed 31-35 Hours	6	3	0	5	1
Employed 35+ Hours	171	41	25	78	3
MICE	0	0	0	0	0
Reason Unknown	5	0	0	0	0
TOTALS	348	55	34	157	6

CLIENTS FOUND INELIGIBLE

JULY 1984

Reason Found Ineligible	New	Reapplicant
Insufficient Working Hours	2	2
Volunteer or Salary Below Minimum	0	0
Income Exceeds Maximum	6	1
Training Program Disapproved	18	3
No Longer Working	3	1
No Longer in Training	0	0
Care No Longer Needed . . . Other Reason	0	0
Application More Than 30 Days Old When Received	0	1
Incomplete/Inaccurate Application	7	2
No Vendor Found	7	0
Work Hours Do Not Match Provider Hours	1	0
No Reapplication	0	0
No Response to Recertification Process	0	0
Denied At Recertification	0	0
Found Ineligible . . . Other Reason	3	2
TOTALS	47	12

CLIENTS FOUND INELIGIBLE

AUGUST 1984

Reason Found Ineligible	New	Reapplicant
Insufficient Working Hours	2	0
Volunteer or Salary Below Minimum	1	0
Income Exceeds Maximum	8	0
Training Program Disapproved	8	0
No Longer Working	3	2
No Longer in Training	0	0
Care No Longer Needed . . . Other Reason	0	0
Application More Than 30 Days Old When Received	0	0
Incomplete/Inaccurate Application	7	2
No Vendor Found	5	0
Work Hours Do Not Match Provider Hours	0	0
No Reapplication	0	0
No Response to Recertification Process	0	0
Denied At Recertification	0	0
Found Ineligible . . . Other Reason	0	2
TOTALS	34	6

GPA OF APPLICANTS FOUND ELIGIBLE
-VS-
GPA OF "FIRST" VENDOR FOUND

Summary of Results for
March 1, 1984 to August 31, 1984

CLIENT GPA	GPA OF "FIRST" VENDOR FOUND AND NUMBER OF CLIENTS									
	1	2	3	4	5	6	7	8	0	Total
1	278	5	8	20	1	6	3	0	3	324
2	5	67	72	11	4	0	2	1	1	163
3	4	2	67	49	11	1	12	4	0	150
4	29	1	67	289	19	2	3	2	0	411
5	2	0	3	5	10	1	2	1	0	23
6	22	0	1	10	0	291	16	9	1	350
7	1	0	3	8	2	10	151	16	2	193
8	0	2	3	5	2	3	15	89	1	120
GPA Unknown	2	0	0	1	0	0	0	0	0	3
TOTALS	342	77	224	398	49	313	204	122	8	1,737

GPA OF APPLICANTS FOUND ELIGIBLE
-VS-
GPA OF "SECOND" VENDOR FOUND

Summary of Results for
March 1, 1984 to August 31, 1984

CLIENT GPA	GPA OF "SECOND" VENDOR FOUND AND NUMBER OF CLIENTS									
	1	2	3	4	5	6	7	8	0	Total
1	1	2	0	3	0	0	0	0	0	6
2	1	1	1	1	0	0	0	0	0	4
3	0	0	0	0	5	2	0	0	0	7
4	0	0	0	2	13	0	0	0	0	15
5	1	0	0	0	0	0	0	0	0	1
6	0	0	0	0	0	7	1	0	1	9
7	0	0	0	0	0	0	4	0	0	4
8	0	0	0	0	0	0	0	0	2	2
GPA Unknown	2	0	0	0	0	0	0	0	0	2
TOTALS	5	3	1	6	18	9	5	0	3	50

SUCCESS RATE:
TYPE OF DAY CARE PREFERRED
-VS-
TYPE FOUND

Period: August 1983 to September 1984

Type Preferred	Type Found					
	Family	Center	In-Home	None	Totals	% Success
Family Day Care	390	98	5	0	493	79
Center Day Care	64	1,057	1	0	1,122	94
In-Home Day Care	78	74	11	0	163	7
Pref Not Indicated	483	1,641	48	0	2,172	
TOTALS	1,015	2,870	65	0	3,950	

SUCCESS RATE: TYPE OF DAY CARE PREFERRED Vs TYPE FOUND MARCH 1984.

TYPE PREFERRED	TYPE FOUND					
	FAMILY	CENTER	IN-HOME	NONE	TOTALS	% SUCCESS
FAMILY DAY CARE	42	8	1	0	51	82
CENTER DAY CARE	6	114	0	0	120	95
IN HOME DAY CARE	4	3	1	0	8	13
PREF UNKNOWN	42	135	0	0	177	
TOTALS:	94	260	2	0	356	

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DAY CARE
WAITING LIST REPORT
FOR CURRENT WEEK

Log #	Name	Infants	Toddlers	Preschool	Latchkey	Call Date	Rating	GPA

DAY CARE CLIENTS IN TRAINING

Applicant's Name	Case Number	Budget/ Reason Codes	Infants	Toddlers	Preschool	Latchkey

PRIVATE PAY RATES--HENNEPIN COUNTY DAY CARE VENDORS

SUMMARY: OCTOBER 1984

PRIVATE PAY RATES FOR INFANTS

Total # of Vendors:	40
Range of Rates:	$12.00 - $19.85
Median Rate:	$17.40
Mean Rate:	$17.21
80th Percentile:	$18.80

PRIVATE PAY RATES FOR TODDLERS

Total # of Vendors:	80
Range of Rates:	$10.30 - $16.40
Median Rate:	$14.20
Mean Rate:	$13.75
80th Percentile:	$15.50

PRIVATE PAY RATES FOR PRESCHOOLERS

Total # of Vendors:	145
Range of Rates:	$8.50 - $15.00
Median Rate:	$12.25
Mean Rate:	$12.17
80th Percentile:	$13.85

PRIVATE PAY RATES FOR SCHOOL AGE--FULL DAY EQUIVALENT

Total # of Vendors:	97
Range of Rates:	$9.36 - $14.00
Median Rate:	$12.20
Mean Rate:	$11.82
80th Percentile:	$12.95

PRIVATE PAY RATES FOR SCHOOL AGE--SCHOOL DAY EQUIVALENT

Total # of Vendors:	94
Range of Rates:	$4.32 - $
Median Rate:	$7.00
Mean Rate:	$6.91
80th Percentile:	$8.00

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PRIVATE PAY RATES FOR INFANTS

VENDOR #	VENDOR NAME	SLOTS	RATE
009	HAPPY HEARTS CHRISTIAN CHILD CARE	4	12.00
270	KIDDIE HAVEN	6	15.00
016	WOODLAKE CHILDREN'S CENTER	4	15.60
116	GOLDEN HOURS DAY CARE	4	15.60
0910	PLAY 7 PRAISE CHRISTIAN DAY CARE	8	15.80
218	KINDER CASTLE	4	16.00
914	SMILE NURSERY SCHOOL & DAY CARE CENTER	9	16.20
237	NEW HORIZON-MOUND	8	16.20
159	FEDIT-FOD LAND, INC	12	16.50
015	LAKE HARRIET CHRISTIAN CHILD CARE	6	16.60
118	BUILDING BLOCK-BLOOMINGTON	20	16.80
940	SOUTHDALE MONTESSORI-INFANT/TODDLER/PRESCHOOL	40	16.94
142	MOUNT SINAI CHILD CARE	16	17.00
106	MESSIAH WILLARD DAY CARE CENTER	8	17.00
212	SHABAZZ LEARNING CENTER	16	17.00
907	BABY CARE	16	17.00
162	BLOOMINGTON CHILD DEVELOPMENT CENTER-POND	16	17.20
011	RICHFIELD YMCA CHILD DEVELOPMENT CENTER	16	17.40
010	KINDER-CARE LEARNING CENTER #827	6	17.40
272	KINDER-CARE LEARNING CENTER #709	12	17.40
121	KINDER-CARE LEARNING CENTER #713	12	17.40
147	KINDER-CARE LEARNING CENTER #650	8	17.40
217	UNION CHILD CARE CENTER	16	17.40
264	THE LEARNING TREE - PLYMOUTH	12	17.60
265	THE LEARNING TREE CENTER UNIVERSITY	12	17.60
229	THE LEARNING TREE CENTER NORTH MAPLE GROVE	12	17.60
111	THE LEARNING TREE CENTER HOPKINS	12	17.60
190	THE LEARNING TREE CENTER -BLOOM/NICOLLET	12	17.60
275	OAK AND ACORN	16	18.00
138	CEDAR-RIVERSIDE D.C. CNTR INFANT/TODDLER	16	18.00
180	NEW HORIZON-BROOKLYN CENTER	8	18.00
018	NEW HORIZON-NEW HOPE	4	18.00
279	NEW HORIZON -PARK	16	18.00
184	NEW HORIZON-PLYMOUTH	12	18.00
238	NEW HORIZON -OPUS 2	20	18.00
103	GLENDALE CHILD DEVELOPMENT	16	18.80
275	YWCA CHILDREN'S CENTER LORING PARK	9	18.80
127	CHILD GARDEN TOTAL ENVIRONMENT	8	19.00
152	NORTHSIDE CHILD DEVELOPMENT CENTER	11	19.00
202	COMMUNITY CHILD CARE CENTER	8	19.85
** TOTAL **		471	688.39

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PRIVATE PAY RATES FOR TODDLERS

VENDOR #	VENDOR NAME	SLOTS	RATE
126	BROOKSIDE CHRISTIAN CENTER	14	10.30
912	MISS VANYA'S KIDDIE COLLEGE	7	11.00
009	HAPPY HEARTS CHRISTIAN CHILD CARE	14	11.00
233	NIGHT OWLS CHILD CARE CENTER	14	11.00
230	A TO Z DAY CARE	14	11.40
004	EASTSIDE COMMUNITY CHILD CARE	11	12.00
218	KINDER CASTLE	7	12.00
159	PEDIT-POD LAND, INC	18	12.00
924	THE LOLLIPOP DRAGON	14	12.00
237	NEW HORIZON-MOUND	21	12.20
116	GOLDEN HOURS DAY CARE	9	12.40
016	WOODLAKE CHILDREN'S CENTER	7	12.50
015	LAKE HARRIET CHRISTIAN CHILD CARE	14	12.60
900	ALPHABET SOUP DAY CARE	14	12.60
173	DISCOVERIES FOR CHILDREN, INC.	10	12.80
304	LITTLE EARTH CHILD CARE CENTER	5	12.84
129	CHILDREN'S LEARNING CENTER	14	13.00
270	KIDDIE HAVEN	6	13.00
0910	PLAY 7 PRAISE CHRISTIAN DAY CARE	14	13.00
128	COMMUNITY SERVICES CHILDCARE CENTER	12	13.00
185	DOWNTOWN CHILD CARE CENTER	21	13.18
139	BLOOMINGTON CENTRAL MONT. TODDLER/PRESCHOOL	14	13.18
232	CRYSTAL NEWHOPE MONTESSORI TODDLER/PRESCHOOL	21	13.18
917	APPACHE NEW BRIGHTON MONT.TODDLER/PRESCHOOL	21	13.18
923	HI-LAKE MONTESSORI	28	13.18
927	UNIVERSITY MONTESSORI-PRESCHOOL	14	13.18
929	WAYZATA-RIDGEDALE MONT.SCH.PRESCHOOL/TODDLER	42	13.19
021	ST.GEORGE'S MONTESSORI SCHOOL(LAPEPINIERE)	21	13.19
937	WOODDALE MONTESSORI-TODDLER/PRESCHOOL	42	13.18
940	SOUTHDALE MONTESSORI-INFANT/TODDLER/PRESCHOOL	42	13.18
908	KENWOOD-CALHOUN MONTESSORI SCHOOL LAPEPINIERE	14	13.44
299	BEST FRIENDS DAY CARE CENTER	14	14.00
162	BLOOMINGTON CHILD DEVELOPMENT CENTER-POND	14	14.00
187	CHILDREN'S VILLAGE MONTESSORI DAYCARE CENTER	7	14.00
141	JEWISH COMMUNITY CNTR EARLY CHILDHOOD CENTER	14	14.00
157	MPLS.COMMUNITY COLLEGE CHILD CARE CENTER	12	14.00
154	NORTHSTAR DAY CARE CENTER	21	14.00
264	THE LEARNING TREE - PLYMOUTH	21	14.20
265	THE LEARNING TREE CENTER UNIVERSITY	23	14.20
229	THE LEARNING TREE CENTER NORTH MAPLE GROVE	26	14.20
231	THE LEARNING TREE CENTER -WEST BLOOMINGTON	24	14.20
110	THE LEARNING TREE CENTER -WESTSIDE	13	14.20
192	THE LEARNING TREE CENTER SOUTHWEST	21	14.20
207	THE LEARNING TREE CENTER MAPLE GROVE	23	14.20
111	THE LEARNING TREE CENTER HOPKINS	14	14.20
190	THE LEARNING TREE CENTER -BLOOM/NICOLLET	21	14.20
164	THE LEARNING TREE CENTER BLOOM/CEDAR	21	14.20
191	THE LEARNING TREE CENTER BROOKLYN PARK	15	14.20

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ALPHABETIC LISTING OF DAY CARE VENDORS

VENDOR NAME	NUMBER	GPA
FRIENDSHIP CENTER (ADULT)	427	
GLENDALE CHILD DEVELOPMENT CENTER	103	003
GOLDEN HOURS DAY CARE CENTER, INC	116	603
GRACE NEIGHBORHOOD NURSERY SCHOOL	189	005
GRACE UNITED METHODIST DAY CARE CENTER & NURSERY	166	001
HAPPY HEARTS CHRISTIAN CHILD CARE	009	625
HAPPY TOTS DAY CARE, INC	248	004
HOLY TRINITY DAY CARE CENTER	176	003
HOMEMAKER/CHORE SERVICES	001	
HOMEMAKER/CHORE SERVICES (POS UNIT ONLY)	003	
HOMES, INC (2002)	858	
HOPKINS LATCHKEY (ALICE SMITH LATCHKEY)	277	617
HOPKINS LATCHKEY (GATEWOOD LATCHKEY)	278	625
HOPKINS LATCHKEY (MEADOWBROOK LATCHKEY)	281	617
HOPKINS LATCHKEY (TANGLEN LATCHKEY)	280	625
IN TOUCH	430	
IN-HOME DAY CARE	175	
JEWISH COMMUNITY CENTER EARLY CHILDHOOD CENTER	141	640
JOYCE CHILD DAY CARE CENTER	131	003
JUDSON PRESCHOOL	146	005
KIDDIE HAVEN	270	004
KINDER CARE LEARNING CENTER (7964 XERXES AVE NO)	121	603
KINDER CARE LEARNING CENTER, INC (9745 REVERE LANE)	147	621
KINDER CARE LEARNING CENTERS (7753 MITCHELL RD)	272	610

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APPENDIX B

COMMUNITY SERVICES DEPARTMENT
COMMUNITY RESOURCES DIVISION
A-1300 Government Center
Minneapolis, Minnesota 55487

HENNEPIN COUNTY
an equal opportunity employer

January 26, 1983

(1-10) ☐☐☐☐☐☐☐☐☐☐
(Leave boxes 1-10 empty.)

We need your help and we are willing to pay you a $5.00 McDonald's Restaurant Coupon Book to get it!

Hennepin County is evaluating how the current child day care system is working. As a part of this evaluation, we need to know how people who use the system feel about child day care service. However, your name will NOT be used in the study. The data will be tabulated to show only group results. The information you give us about your experiences will be kept strictly confidential.

To receive a McDonald's $5.00 Coupon Book in the mail from us by February 22, 1983:

1. Complete the following questions. (If questions aren't completed, we cannot send the Coupon Book to you.)
2. Return this letter and completed questionnaire in the enclosed, self-addressed, stamped envelope.
3. Be sure that you don't tear the above address label off the questionnaire or we won't know where to send the Coupon Book. We will remove the address label from the questionnaire after sending the Coupon Book.
4. Get the questionnaire in the mail to us by February 9, 1983. If you put it in the mail after that date, the Coupon Book sent to you will be delayed past February 22, 1983. We will accept no questionnaires past February 22.

The use of McDonald's Restaurant Coupon Books does not consititute an endorsement of McDonald's products. We simply used this means as an incentive to respond to our questionnaire.

If you have any questions on how to complete the questionnaire, you can call either Patricia McIlvenna at 348-2801 or Roger Leaf at 348-5970.

Thank you for your cooperation.

Very truly yours,

Roger L. Engstrom

Roger L. Engstrom, Division Manager

Begin with Question 11:

11. How long have you lived at your present address?

CHECK ONLY ONE:

(1) ☐ Less than three months.
(2) ☐ Three months to six months.
(3) ☐ Six months to one year.
(4) ☐ Over one year but less than two years.
(5) ☐ Two or more years.

12. How long did you live at your previous address?

CHECK ONLY ONE:

(1) ☐ Less than three months.
(2) ☐ Three months to six months.
(3) ☐ Six months to one year.
(4) ☐ Over one year but less than two years.
(5) ☐ Two or more years.

13. Do you have any children who don't need day care?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes. → How old are they?

___ Years ___ Months
___ Years ___ Months
___ Years ___ Months
___ Years ___ Months
___ Years ___ Months

(OVER)

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(14-17) How old is your first (oldest) child who does need day care? ☐☐ Years ☐☐ Months

(18) What kind of day care is this child getting while you are at work or school? CHECK ONLY ONE:
(1) ☐ None. Why? _____
(2) ☐ Family day care (in someone's home).
(3) ☐ Center day care.
(4) ☐ Babysitter (in your home).
(5) ☐ Other. Describe: _____

(19) Does Hennepin County pay for this care? CHECK ONLY ONE:
(1) ☐ No.
(2) ☐ Yes.
(3) ☐ I don't know.

(20) What kind of day care do you prefer for this child? CHECK ONLY ONE:
(1) ☐ Center day care.
(2) ☐ Family day care (in someone's home).
(3) ☐ Babysitter (in your home).
(4) ☐ I like them all the same.
(5) ☐ Other. Describe: _____

STOP HERE IF YOU HAVE ONLY ONE CHILD WHO NEEDS DAY CARE. GO TO QUESTION 42, PAGE 3

(21-24) How old is your second child who does need day care? ☐☐ Years ☐☐ Months

(25) What kind of day care is this child getting while you are at work or school? CHECK ONLY ONE:
(1) ☐ None. Why? _____
(2) ☐ Family day care (in someone's home).
(3) ☐ Center day care.
(4) ☐ Babysitter (in your home).
(5) ☐ Other. Describe: _____

(26) Does Hennepin County pay for this care? CHECK ONLY ONE:
(1) ☐ No.
(2) ☐ Yes.
(3) ☐ I don't know.

(27) What kind of day care do you prefer for this child? CHECK ONLY ONE:
(1) ☐ Center day care.
(2) ☐ Family day care (in someone's home).
(3) ☐ Babysitter (in your home).
(4) ☐ I like them all the same.
(5) ☐ Other. Describe: _____

STOP HERE IF YOU HAVE ONLY 2 CHILDREN WHO NEED DAY CARE. GO TO QUESTION 42, PAGE 3

(28-31) How old is your third child who needs day care? ☐☐ Years ☐☐ Months

(32) What kind of day care is this child getting while you are at work or school? CHECK ONLY ONE:
(1) ☐ None. Why? _____
(2) ☐ Family day care (in someone's home).
(3) ☐ Center day care.
(4) ☐ Babysitter (in your home).
(5) ☐ Other. Describe: _____

(33) Does Hennepin County pay for this care? CHECK ONLY ONE:
(1) ☐ No.
(2) ☐ Yes.
(3) ☐ I don't know.

(34) What kind of day care do you prefer for this child? CHECK ONLY ONE:
(1) ☐ Center day care.
(2) ☐ Family day care (in someone's home).
(3) ☐ Babysitter (in your home).
(4) ☐ I like them all the same.
(5) ☐ Other. Describe: _____

STOP HERE IF YOU HAVE ONLY 3 CHILDREN WHO NEED DAY CARE. GO TO QUESTION 42, PAGE 3

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(35-36) How old is your fourth child who needs day care?

☐☐ Years ☐☐ Months

(39) What kind of day care is this child getting while you are at work or school?

CHECK ONLY ONE:

(1) ☐ None. Why? _____
(2) ☐ Family day care (in someone's home).
(3) ☐ Center day care.
(4) ☐ Babysitter (in your home).
(5) ☐ Other. Describe: _____

(40) Does Hennepin County pay for this care?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ I don't know.

(41) What kind of day care do you prefer for this child?

CHECK ONLY ONE:

(1) ☐ Center day care.
(2) ☐ Family day care (in someone's home).
(3) ☐ Babysitter (in your home).
(4) ☐ I like them all the same.
(5) ☐ Other. Describe: _____

Data 42 (42) For how long have your children been in County funded day care?

CHECK ONLY ONE:

(1) ☐ Less than six months.
(2) ☐ Six months to one year.
(3) ☐ Over one year but less than two years.
(4) ☐ Two or more years.

(43) At this time, how do you feel about your County funded day care?

CHECK ONLY ONE:

(1) ☐ Very satisfied.
(2) ☐ Mostly satisfied, once in a while dissatisfied.
(3) ☐ Mostly dissatisfied, once in a while satisfied.
Why? _____
_____
(4) ☐ Very dissatisfied.
Why? _____
_____

(44-49) If any of your children are not getting day care you like, why not?

CHECK AS MANY AS ARE TRUE:

(1) ☐ I could not find day care I like.
(1) ☐ I do not think the County pays for the kind of day care I like best.
(1) ☐ The day care I want is too far from home.
(1) ☐ The day care I want is too far from my work or school.
(1) ☐ There was no vacancy when I tried to get day care I wanted.
(1) ☐ Other. Describe: _____
_____
_____

(50) Is your day care close to your home?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ Only for some of my children.

(51) Is your day care close to or on the way to your work or your school?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ Only for some of my children.

(52) Is your day care close to your children's school?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ None of my children are in school.

(53) Is transportation to and from day care a problem for you?

CHECK ONLY ONE:

(1) ☐ No, not usually a problem.
(2) ☐ Yes, usually a problem.

(OVER)

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(54) Do you prefer day care close to home or close to your work or school?

CHECK ONLY ONE:

(1) ☐ Close to home.
(2) ☐ Close to work or school.
(3) ☐ My home and work or school are in the same area.
(4) ☐ Other. Describe: _____

(55) Do you have day care during the hours you need for your work or school?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.

(56) Do any of your children in County funded day care have special problems which affect their day care needs? (Like physical disabilities or learning disabilities.)

CHECK ONLY ONE:

(1) ☐ No. Go to Question 58.
(2) ☐ Yes. Describe: _____

(57) If your child has special problems, does his or her day care help with the problems?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ Not sure.

(58) Have you ever changed where you get County funded day care?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes, once.
(3) ☐ Yes, twice.
(4) ☐ Yes, three times.
(5) ☐ Yes, four or more times.

(59) Do you want to change your County funded day care at this time?

CHECK ONLY ONE:

(1) ☐ No. Go to Questions 69-70, page 5.
(2) ☐ Yes.
(3) ☐ Unsure.

(60) Why do you want to change where you get County funded day care?

CHECK ONLY ONE:

(1) ☐ I found day care I like better.
(2) ☐ I want center day care instead.
(3) ☐ I want family day care instead.
(4) ☐ I want in-my-home day care instead.
(5) ☐ I found day care in a place closer to home or my work or school.
(6) ☐ My child is too old to stay in the same place.
(7) ☐ I moved to a new neighborhood.
(8) ☐ I want my children together.
(9) ☐ Other. Describe: _____

(61-68) Why haven't you changed where you get County funded day care?

CHECK AS MANY AS ARE TRUE:

(1) ☐ No time to find other day care.
(1) ☐ I can't find other day care I like.
(1) ☐ I can't find other day care close to my home or work or school.
(1) ☐ There is no vacancy in the place I want.
(1) ☐ I'm not sure about the procedure for changing County funded day care.
(1) ☐ I'm not sure what choices I have.
(1) ☐ It is too difficult to change County funded day care.
(1) ☐ Other. Describe: _____

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(69-70) How did you find the County funded day care you are now using?

CHECK ONLY ONE:

(1) ☐ My social worker.
(2) ☐ A neighbor or friend.
(3) ☐ A County financial worker gave me a list.
(4) ☐ I called First-Call-for-Help and got a list of places.
(5) ☐ I called the Greater Minneapolis Day Care Association or the Child Care Information Network and got a list of places.
(6) ☐ I called the Hennepin County Family Day Care Association and got a list of places.
(7) ☐ Hennepin County mailed me a list of places.
(8) ☐ It is the only day care I knew of.
(9) ☐ It is the only day care in my neighborhood.
(10) ☐ Bulletin board advertisement.
(11) ☐ Through the newspaper, radio, or television.
(12) ☐ Through a sign on the day care place.
(13) ☐ Through the telephone book.
(14) ☐ From my employer.
(15) ☐ I don't remember.
(16) ☐ Other. Describe: _____

_____

(71) Did you visit more than one day care place when choosing the day care you now have?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes. How many? ___
(3) ☐ Don't remember.

(72) Have you ever visited both family day care homes and day care centers?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.

(73) As you understand it, what is the definition of Family Day Care?

CHECK ONLY ONE:

(1) ☐ It is day care given in my home.
(2) ☐ It is day care given in someone else's home, to a small group of children.
(3) ☐ It is day care given to the children of one family only.
(4) ☐ I'm not sure.

(74) As you understand it, what is the definition of Center Day Care?

CHECK ONLY ONE:

(1) ☐ It is day care given in someone's home or any other building, to many children.
(2) ☐ It is day care given to preschool children only.
(3) ☐ It is day care given to many children, in a building other than someone's home.
(4) ☐ I'm not sure.

(75) How did you first find out you could have day care funded through the County?

CHECK AS MANY AS ARE TRUE:

(1) ☐ A friend or neighbor or family member told me.
(2) ☐ My social worker or County financial worker told me.
(3) ☐ I read it in a newspaper.
(4) ☐ I was told by people at my school or work.
(5) ☐ I was told by a day care staff person.
(6) ☐ I was told by the Hennepin County Family Day Care Association or the Greater Minneapolis Day care Association or the Child Care Information Network.
(7) ☐ I don't remember.
(8) ☐ Other. Describe: _____

(76) How did you most recently get your Title XX application forms for County funded day care?

CHECK ONLY ONE:

(1) ☐ From the County.
(2) ☐ From a day care center.
(3) ☐ From both a center and the County.
(4) ☐ Other. Describe: _____

(OVER)

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(77) Were any parts of the Title XX application forms unclear to you?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ I don't remember.

(78) Did you want assistance in completing the Title XX application forms?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ I don't remember.

(79) Did you get assistance in completing the Title XX application forms?

CHECK ONLY ONE:

(1) ☐ No, because I did not ask anyone for assistance.
(2) ☐ No, because I could not find anyone to give me assistance.
(3) ☐ Yes, I got assistance from a friend or relative.
(4) ☐ Yes, I got assistance from County staff.
(5) ☐ Yes, I got assistance from day care staff.
(6) ☐ Yes, I got assistance from County and day care staff.
(7) ☐ I don't remember.
(8) ☐ Other. Describe: _____

_____

(80) Has anyone told you that for County funded day care you can choose between family day care, center day care, and having someone come into your home to care for your children?

CHECK ONLY ONE:

(1) ☐ No. What choices did you know about? _____

_____

(2) ☐ Yes.
(3) ☐ Not sure.

(81) Has anyone told you that the County can pay for day care for you in any part of Hennepin County?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes.
(3) ☐ Not sure.

(82) Would you like more information about your choices in County funded child day care?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes. Describe: _____

_____

_____

(83) Can you think of something that Hennepin County could do to make it easier for you to use child day care?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes. Describe: _____

_____

_____

(84) Do you have other comments you'd like to make?

CHECK ONLY ONE:

(1) ☐ No.
(2) ☐ Yes. Describe: _____

_____

_____

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In October 1982 the Hennepin County Department of Community Services was awarded a federal grant to evaluate the impact of a day care voucher system that had been recently implemented. An initial activity of the grant was a parent satisfaction survey that was sent to all Hennepin County subsidized day care clients in January 1983. The findings from this survey suggest that when central eligibility was implemented, most parents of children in subsidized day care were satisfied with their providers and had found child care of the type and in the neighborhood desired. On the other hand, indications were that many of the parents had not "shopped" for their child care, and were not well informed about their options. Finally, informal networks seem to be used frequently for information about County subsidized care.

In January 1985 Central Eligibility will have been in operation for two and one half years. As a final activity of the grant we are seeking a second measure of consumer satisfaction as well as client feedback on some issues that are of concern in operating Hennepin County's day care subsidy system. Specifically we hope to find out what types of problems parents encounter in finding and using day care and solicit specific suggestions for improving our services.

Some of the questions that we feel will target our areas of concern are as follows:

1. Do you have any special day care need in terms of hours, or types of care that has not been met by your provider.

2. Do you think Hennepin County policies and procedures provide an incentive for you to go to work or school?

   If not, which procedures or policies need to be changed and how?

3. What do you think contributes most to quality in your day care?

   Was it a problem for you to find quality day care?

4. Was it difficult for you to obtain information about whether you were eligible for a day care subsidy.

   Did the time required to determine your eligibility present a problem for you? If so, how?

   Did you have difficulty filling out the necessary forms? Is it important to you to have personal contact with someone from Hennepin County when you make an application?

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5. Did the requirements that Hennepin County imposes limit you in your choice of a training program or job?

   Was this a problem for you?

6. Do you feel confident that enough is done to protect your child from abuse in your day care setting?

   If not, what would you recommend?

7. Hennepin County is always looking for ways to extend the day care dollar and serve more people. How would you feel if we established a set rate for each full time child in day care? If your day care cost more, you would have to contribute to the cost out of your pocket and if it cost less you would be refunded the difference?

8. What do you feel the day care subsidy has meant to your family? Has it changed your expectations for the future, your attitudes or your aspirations?

9. Are you aware of other people who you think would be eligible for a Hennepin County day care subsidy and can't get one. If so, why not?

Secondary issues

transportation
sick care

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Steven E. Mayer, Ph.D.
Executive Director

Steven Gray
Project Coordinator

Rainbow Research Inc.
1406 West Lake Street
Minneapolis, Minnesota 55408
(612) 824-0724

January 18, 1985

Name
Street
City, State Zipcode

Dear Ms. ----------:

Hennepin County has asked us to find out if the Subsidy Day Care Program is doing a good job. The Subsidy Day Care Program is the one that allows you to shop for a day care provider of your choice, once your own income eligibility has been determined.

We are not asking if your own day care is doing a good job. Instead, we are asking if the County's approach to supporting your day care is helpful to you, and in what ways it could be improved.

Day care officials told us that you might be willing to come to a group meeting to discuss "what's good and what's bad" about the program, and to offer your ideas for improving it.

The County will pay you $10 for your thoughts and your time at a meeting.

ON: Date
AT: Location
Address
TIME: 5:30--8:00 in the evening

As an added incentive, we'll provide a Kentucky Fried Chicken dinner for you and your children. And of course, day care will be provided. We will eat at 5:30 and begin discussion at 6:00.

We will get the most out of our time together if you can spend some time before the meeting thinking about these questions:

- Have you been able to find the kind of day care service that you need?
- How much hassle has it been working with Hennepin County with paperwork?

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- Does this program help you in going to work or school? How could it be more helpful?
- Do you worry if enough is done to protect your child from abuse in his/her day care setting?
- What are all the good things you can think of about this program? What are all the bad things about it? What ideas do you have for making improvements?
- What's the best way to find good day care? What is good day care?

Some other questions we would like to ask are:

- Would it be fair for the County to charge a set rate for each full-time child in day care (if your day care costs more, you would pay the difference; but if your day care costs less, you would get a refund)?
- If you are now working and paying a fee for day care, how would a raise in that fee affect you?
- Do you know any people who are probably eligible for a Hennepin County Day Care Subsidy, but cannot get one? Why can't they get a subsidy?

A few days before the discussion, I will call you to make sure that you are still able to come. We would also like to know at that time how many of your family will be coming so that we can plan on the right number of dinners.

We know that coming out to a meeting in the winter time, even if dinner is provided, is not the easiest thing to do. So we want to thank you right now for considering this and for thinking about these questions so that day care services can be improved for all who need it.

Sincerely,

Steven E. Mayer
Executive Director

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Date: _____

PROVIDER: _____

(A) Background - Brief description of Federal Grant, purpose of this survey is to identify problems and possible areas of technical assistance.

(B) Enrollment -

1. What is your march '82 and March '83 enrollment?

   - By Age Group
   - County vs. non-County funded.

	I	T	P/S	LK
'83 County Funded				
'83 Non-County Funded				
'82 County Funded				
'82 Non-County Funded				

2. What trends have you noticed?

   - Shifting demand between program components

   - Parent Demographics (age, income, and geography)

   - Public vs. private pay

   - Employed vs. in-training

   - Are you aware of people in your area that might be eligible but for any reason have not applied for day care (e.g. due to attitudes or lack of awareness)?

   - What do you attribute changes to?

3. Do you have enrollment problems?

   - What factors do you see as contributing to the problem? (For example: C.E. System, changes in eligibility criteria, the economy, etc.)

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3. Cont'd-

- If you do have enrollment problems, what steps are you taking to solve the problem?

Discussion Topics:

Have you considered shifting service types?

What have you done about marketing?

What impact do you feel it had?

Have you considered a referral system with other centers?

Have you considered extending hours?

Have you considered relocating or what impact has relocating had?

If no, to what do you attribute the lack of enrollment problems?

(C) Resources -

1. What role does your Board play in the management of the center?

- What specific things does your Board do to help you manage the center?

- Are there any additional areas in which you would like your Board's involvement?

- What is the composition of the Board (i.e. parents, local community, business people, etc.)?

- Is there a feeling that the current mix of your board needs to be changed?

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(C) 1. Cont'd -

- How are new members recruited?

- What types of orientation do new Board members receive?

- How are members informed about current center issues?

- When did your Board last meet?

- In general, how available and helpful is your Board in helping you manage your center?

2. To what extent are staff used as a resource in the management of the center?

- What specific things do staff do to help you manage the center?

- What additional things would you like your staff to do to help you manage the center?

- In recruiting staff, do you look for administrative abilities to help in managing the center (non-classroom abilities)?

- What factors might be keeping staff from being a more effective resource in helping you manage the center?

- How significant a factor are staff turnover and staff burn-out in the management of the center? Has the situation gotten better or worse in the past year?

- To what extent are staff salaries a factor in the management of the center?

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(C) Resources - (cont'd)

3. What, if any, training might be helpful to you in improving your management skills?

4. Have you used or sought assistance from outside resources such as GMDCA, Lake Country Food Bank, Southside Resource Center or the Red Cross?

- What types of assistance have you received?

- Was the assistance helpful?

5. Do you use parents as a resource? (i.e. fundraising, publicity, classroom aides, etc.

(D) Financial -

1. Has cash flow become a problem for the center?

2. Have you adjusted your budget or spending patterns to deal with the current environment?

- Have you considered changes in food buying patterns?

- Have you considered group purchasing with other centers?

- Have you considered a leave-without-pay program?

- Have you considered reducing staff hours or staff salaries?

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(D) 2. Cont'd.

- If applicable, have you made changes in transportation?

- Have you considered reducing field trips?

- Have you considered new fund raising efforts (ex. community dinner)?

- Have you considered group fund raising with other centers?

3. What impact has going to State ratios and the accompanying rate reduction had on the financial management of the center?

(E) Are there any other problems you can identify for your center that are related to Central Eligibility?

Are there any other problems you can identify not related to C.E.?

If the County could provide some extra short-term technical assistance, what would you like to see?

Examples that <u>may</u> be suggested to providers:

- Bookkeeping procedures
- "How to read financial statements"
- Marketing
- Resource referral

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APPENDIX F

FAMILY DAY CARE RATE SURVEY -- 1983

Day Care Provider Name: _____ Telephone #: _____

(1-3) Identifier: ___ ___ ___

(4) Geographic Planning Area: ___

(5-9) Zip Code: ___ ___ ___ ___ ___

Are you a full-day provider? ___ (Write out "Yes" or "No".) If "No", STOP. "THANK YOU FOR YOUR TIME."

Do you provide day care at the present time? ___ (Write out "Yes" or "No".) If "No", STOP. "THANK YOU FOR YOUR TIME."

(10) ___ What age children do you care for?

1 = Infants only (6 weeks - 16 months).
2 = Infants and older children.
3 = Older children only.
4 = School-age only. If "Yes", STOP. "THANK YOU FOR YOUR TIME."

RATES

What is your daily private pay rate?

(11-14) $___ ___ . ___ ___ One infant

(15-18) $___ ___ . ___ ___ One older child

(19) ___ Do you have a sibling rate?

1 = Yes.
2 = No. → Go to Question (28).

(20-23) $___ ___ . ___ ___ Two older children

(24-27) $___ ___ . ___ ___ One infant, one older child

(28) ___ Do you take special needs children? (Note: If asked, County Rate = $11.30 versus $9.25 for other children.)

1 = Yes.
2 = No. Possibly interested in doing so, wants someone from County to contact him/her.
3 = No. Possibly interested in doing so, does not want someone from County to contact him/her.
4 = No. Not interested.

Go to Question (33)

Comment: _____

(29-32) $___ ___ . ___ ___ Daily rate for one special needs child.

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Do you charge for:

(33) ___ Days when a child is absent due to illness?

1 = Yes, regular daily rate.
2 = Yes, other daily rate: $_____.
3 = No.
4 = Other. Describe: _____

(34) ___ Provider vacation days?

1 = Yes, regular rate.
2 = Yes, other daily rate: $_____.
3 = No.
4 = Other. Describe: _____

(35) ___ Holidays when you are closed?

1 = Yes, regular rate.
2 = Yes, other daily rate: $_____.
3 = No.
4 = Other. Describe: _____

(36) ___ How long have you been a family day care provider? (Need not be consecutive.)

1 = Less than 6 months.
2 = 6 months to 1 year.
3 = 1 to 2 years.
4 = More than 2 years.

(37) ___ Do you have a County contract?

1 = Yes.
2 = No. Go to (48).

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****

FOR CONTRACTED PROVIDERS:

(38) ___ Have you provided day care to at least one County-subsidized client in the past three months?

1 = Yes.
2 = No.
3 = Don't remember/unsure.

(39) ___ Are you satisfied with the County contract system?

1 = Yes. STOP. "THANK YOU FOR YOUR TIME."
2-9 = No. (Analyst will code) Describe: _____

_____

_____

If problem is rate, what daily rate would be acceptable?

(40-43) $___ ___ . ___ ___ - Infant.

(44-47) $___ ___ . ___ ___ - Noninfant (older children).

Comment: _____

_____

STOP. "THANK YOU FOR YOUR TIME."

****

FOR NONCONTRACTED PROVIDERS:

(48) ___ Are you interested in signing a contract with the County?

1 = No.
2 = Maybe, depending on condition.
STOP { 3 = Yes. Wants someone from County to contact her/him.
STOP { 4 = Yes. Does not want someone to contact her/him.

→ "THANK YOU FOR YOUR TIME".

(49) ___ Are there any particular conditions under which you would contract with the County?

1 = Not interested. STOP. "THANK YOU FOR YOUR TIME".
2 = If the same rates applied to all children in a family. STOP. "THANK YOU FOR YOUR TIME".
3 = If rates were higher.
4 = Both "2" and "3" above.
4-9 = Other.
Describe: _____
(Analyst Codes)

What rate would be acceptable?

(50-53) $___ ___ . ___ ___ - Infant.

(54-57) $___ ___ . ___ ___ - Preschooler/older child.

STOP "THANK YOU FOR YOUR TIME".

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APPENDIX G

DAY CARE INFORMATION AND REFERRAL

FOLLOW-UP SURVEY

CLIENT'S NAME _____ CLIENT'S PHONE _____

INTERVIEWER'S NAME _____

DATE(S) (Record any unsuccessful attempts to reach client.) _____

DIRECTIONS: If there is only one child in a family, use the "Youngest Child" column only. If there are two children, use the "Youngest" and "Next Youngest" columns.

FAMILY I.D. (1-5) _____ _____ _____ _____ _____

1. Why were you seeking care for your child(ren)?

		Youngest Child
1 = Employed		1
2 = School or training		2
3 = Seeking work	CIRCLE	3
4 = Child socialization	ONE:	4
5 = Parent free time		5
6 = Employed and school or training		6
7 = Other (Explain: _____)		7
	(6)	____

2. How old are the children who needed day care?

		Youngest Child	Next Youngest	Other Child(ren)
1 = Infant (< 16 months) _____		1	1	1
2 = Toddler (16 - 30 months) _____		2	2	2
3 = Preschooler (31 months to 5 years) _____	CIRCLE	3	3	3
4 = Kindergarten (5 years) _____	ONE:	4	4	4
5 = School age (> 5 years) _____		5	5	5
	(7-9)	____	____	____

3. In what (geographic) area did you want day care for _____? (Record suburb or zip code or address on line.)
(Program analyst will code planning area.)

		Youngest Child	Next Youngest	Other Child(ren)
Near home _____	(10-12)	____	____	____
Near work _____	(13-15)	____	____	____

4. What sort of day care provider did you request for _____ when you contacted the Child Care Information Network?

		Youngest Child	Next Youngest	Other Child(ren)
1 = Family day care home		1	1	1
2 = Center day care	CIRCLE	2	2	2
3 = Both family and center day care	ONE:	3	3	3
4 = In-home or babysitter		4	4	4
5 = All		5	5	5
	(16-18)	____	____	____

5. For what hours (and days) did you need day care for _____?

		Youngest Child	Next Youngest	Other Child(ren)
1 = Full time (30 hours or more)		1	1	1
2 = Part day (less than 30 hours)		2	2	2
3 = Before or after school		3	3	3
4 = Evenings (after 6:00)	CIRCLE	4	4	4
5 = Overnight	ONE:	5	5	5
6 = Weekend		6	6	6
7 = Drop-in		7	7	7
8 = Temporary		8	8	8
9 = Other (Describe: _____)		9	9	9
	(19-21)	___	___	___

6. What type of day care did you find for _____?

		Youngest Child	Next Youngest	Other Child(ren)
F = Family day care				
C = Center day care				
I = In-home or babysitter				
Go to #9 If found care	CIRCLE ONE:	F C I	F C I	F C I
Go to #7 If did not find care		None	None	None
	(22-24)	__ __	__ __	__ __

IF DIDN'T FIND CARE

7. If you didn't find day care for any one of your child(ren), what did you do?

		Primary	Sec.
1. Quit work		1	1
2. Quit school		2	2
3. Left child with friend or relative	CIRCLE	3	3
4. Left child alone	ONE:	4	4
5. Decided didn't need day care		5	5
6. Still looking		6	6
8. Continued with my current provider		7	7
9. Other (Describe: _____)		8	8
	(25-26)	___	___

8. What was the primary reason you weren't able to find day care for your child(ren)?

		Primary	Sec.
1. Didn't call (Why not? _____) (Will you call? _____)		1	1
2. No vacancies		2	2
3. Couldn't find day care for odd hours		3	3
Go to #13 4. None in geographic area	CIRCLE	4	4
5. Didn't like providers/settings	ONE:	5	5
6. Too expensive		6	6
7. Children couldn't be together		7	7
8. Transportation problems		8	8
10. Other (Describe: _____)		9	9
	(27-28)	___	___

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IF FOUND CARE

9. Did you find day care for your child(ren) in the geographic area you wanted?

1 = Yes, for all children	CIRCLE	1
2 = Yes, for some children only	ONE:	2
3 = No		3
(Where did you find day care? Suburb(s) or zip code(s) of address: _____)	(29)	___

10. Did you find day care for the hours which you needed?

1 = Yes, for all children	CIRCLE	1
2 = Yes, for some children only	ONE:	2
3 = No (Explain: _____)		3
	(30)	___

11. How do you take child(ren) to day care?

1 = Car		1
2 = Bus	CIRCLE	2
3 = Bicycle/Walk	ONE:	3
4 = Center pick-up		4
5 = Combination of above		5
6 = Other (Explain: _____)		6
	(31)	___

12. How did you find day care for your child(ren)?

1. Through referral(s) given to me by CCIN		1
2. Through recommendation of friend or relative		2
3. Through advertisement in newspaper, magazine or signs		3
4. Through a referral given to me by Hennepin County	CIRCLE ONE:	4
5. Through CCIN and one of the above		5
6. Through any combination of #2, 3, and 4		6
7. Other (Describe: _____)		7
	(32)	___

ALL CALLS

			Youngest Child	Next Youngest	Other Child(ren)
13. How many providers did you call to find day care for _____?	Code Actual	(33-38)	__ __	__ __	__ __
14. Of the providers you called, how many had at least one vacancy (appropriate for the age of your child)?	Code Actual	(39-44)	__ __	__ __	__ __

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15. Do you receive Title XX or Hennepin County financial assistance for your day care?

1 = Yes			1
2 = No		CIRCLE	2
3 = Don't Know		ONE:	3
4 = Sliding Fee			4
	(45)		____

16. The Child Care Information Network is interested in evaluating its services. Please indicate whether you found each of the following features of service useful or not useful.

	Useful	Not Useful	Don't Know	Didn't Receive		
a. Listings of potential providers	1	2	3	4	(46)	____
b. Financial aid information	1	2	3	4	(47)	____
c. Brochure about selecting child care	1	2	3	4	(48)	____
d. Phone discussion with referral staff about day care	1	2	3	4	(49)	____

17. Do you have any comments you would like to make?

_____

_____

_____

_____

(50-51) ____ ____

Thank you for your assistance.

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FOLLOW-UP QUESTIONNAIRE
CLIENTS WHO RECEIVED TRAINING SUBSIDY

NAME _____ ID# ___ ___ (1-3)

TELEPHONE NUMBER _____

DATE SUBSIDY ENDED _____

1. How much time has elapsed since subsidy ended? For Use By Interviewer Only (24)

1 = One month Go to 2a ↓ 2 = Three months Go to 2c ↓

2a. Are you currently employed?

(1) Yes → Go to Question #3
(2) No → Go to 2b

2c. Are you currently employed? (25)

(1) Yes → Go to Question #3
(2) No → Seeking work
(3) No → Not seeking work
→ Go to Question #11

2b. May I call you back in two months to ask you your job status?

(1) Yes → Stop
(2) No → Go to Question #11

3. What is your gross monthly salary? $_____/month ___ ___ ___ ___

_____ hrs. @ $_____/hr. (26-29)

4. How many hours do you work per week? (30)

(1) Less than 25 hours
(2) 25-29 hours
(3) 30-34 hours
(4) 35-40 hours

5. What field are you employed in? (31-32)

(1) Medical
(2) Professional/Technical
(3) Clerical
(4) Education
(5) Human Services
(6) Law Enforcement
(7) Retailing
(8) Food Service
(9) Custodial
(10) Factory Worker
(11) Other, explain _____

6. Are you employed in the field in which you were trained? (33)

(1) Yes → Go to Question #8
(2) No → Go to Question #7

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7. Why did you accept a job in a field in which you were not trained? (34)

(1) Could not find a job in field of training
(2) Received a better offer outside my field
(3) Didn't want to work in my field of training
(4) Found this job first
(5) Did not complete training program
(6) Other, explain _____

8. Would you say that the training you received helped you get this job? (35)

(1) Yes
(2) No
(3) Can't say

9. What kind of child care are you using now? (36)

(1) My child(ren) are not in day care → Go to Question #12
(2) Licensed family day care
(3) Unlicensed family day care
(4) Family day care - Don't know whether it is licensed → Go to Question #10
(5) Day care center
(6) In-Home
(7) Relatives in home

10. Are you currently receiving help with child care costs? (37)

(1) No
(2) Hennepin County subsidy
(3) Private center subsidy
(4) Relatives or friends pay or take care of children → Go to Question #12
(5) GMDCA sliding fee program
(6) Deduct as AFDC work expense
(7) Other, explain _____

GO TO QUESTION #12

11. Why are you not working? (38)

(1) Can't find a job
(2) Decided to wait until my children are older
(3) Couldn't find adequate child care
(4) I am being supported by a friend or relative
(5) The salary offers were not enough to justify working
(6) Didn't look
(7) I am pregnant
(8) Other, explain _____

12. Did you complete your training program? (39)

(1) Yes → Go to Question #14
(2) No → Go to Question #13

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13. Why did you not complete your training program? (40-41)

(1) I was not allowed to continue because of my grades
(2) I didn't like the training program
(3) I did not have adequate child care arrangements
(4) I had transportation problems for either my child or myself
(5) I got a job before completing my training program
(6) I moved
(7) I got married
(8) Either I or my child had health problems
(9) I am pregnant
(10) Other, explain _____

14. Are you currently on AFDC? (42)

(1) Yes Go to Question #15
(2) No Stop

15. What is your grant amount $_____ ___ ___ ___ (43-46)

Thank you very much for your cooperation.

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EXECUTIVE SUMMARY
FINAL REPORT OF THE HENNEPIN COUNTY GRANT PURCHASE OF CHILD DAY CARE THROUGH A VOUCHER SYSTEM: AN EVALUATION AND USE OF TECHNOLOGY TRANSFER AND TECHNICAL ASSISTANCE TO ENHANCE SERVICE DELIVERY

In January 1982, the Hennepin County Community Services Department began implementing a day care voucher system which allows day care clients to place their children in any licensed day care home or center that is willing to contract with Hennepin County. Previous to January 1982, clients whose day care was subsidized by Hennepin County were required to choose from among approximately 20 inner city centers that had major contracts with the County and a very limited number of family day care slots.

In October 1982, Hennepin County was awarded a grant by the Department of Health and Human Services to evaluate the impact of the day care voucher system. The focus of this grant has been to examine the voucher system in terms of its effect on consumers, providers, and the total day care system. This has been done through a series of studies designed to answer key questions about the impact of the central eligibility voucher system (CEVS). The focus of the evaluation was formative in nature. Thus, as deficiencies in the system were discovered, the resources of the grant were devoted to correcting them.

- What has been the voucher system's impact on providers?

  An analysis of Hennepin County licensing records indicates that although the number of children in family day care subsidized through the CEVS increased significantly between 1981 and 1983, the number of contracted providers did not. Apparently, there were enough contracted providers previous to the implementation of CEVS to accommodate the large increase. Survey data indicates that contracted providers are for the most part satisfied with the County's system for purchasing day care. The most common complaint was that County rates are too low.

  Data collected from surveys of day care centers in 1983 and 1984 indicate that the implementation of the voucher system contributed to a 12 percent decrease in total

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enrollment of children in centers which prior to January 1982 had a major contract with Hennepin County. One of the goals of CEVS was to decrease the dependence of the non-major contract centers on Hennepin County by increasing the mix of County subsidized and non-County subsidized children in these centers. Between 1982 and 1984, the percent of non-County subsidized children in these centers increased significantly. An additional impact of the voucher system on the old major contract centers has been an increased awareness of a need to compete in the marketplace. Currently, Hennepin County is working together with other organizations in the community to develop a mechanism for providing marketing assistance to day care centers.

- What has been the voucher system's effect on consumers?

The implementation of CEVS has generally increased the availability and accessibility of day care to consumers. The percentage of children in family day care and center care more accurately reflects parental preferences in 1984 than in 1981. In 1981 88.5 percent of the children were in center care while only 60 percent of the parents indicated they preferred center care. By March 1984, 66 percent of CEVS children were in center care.

An additional impact of CEVS was to make subsidized day care more accessible to people living in the suburbs. Previous to the implementation of CEVS, the great majority of day care center slots were in the inner city (93 percent). By July 1984, the geographic distribution of children in day care more closely reflected the geographic demand for day care by people who are employed and financially eligible (using 1980 census data as an indicator of potential demand). However, the 1980 census data also indicates that the potential demand for day care for training purposes is much greater in the city than the suburbs. Therefore, Hennepin County by implementing a freeze on training clients in 1983, disproportionately favored potential clients in the suburbs.

Previous to the implementation of CEVS, the majority of Hennepin County's subsidized day care was provided to preschoolers. The change to CEVS has resulted in an increase in children in day care and all of this increase has been among infants, toddlers, and latchkey and not among preschoolers. The percentages of infants, toddlers, and latchkey children increased as a result of the increased availability of slots in other than the preschool category.

Data obtained from special surveys as well as from the applicant tracking system indicate that Hennepin County clients are extremely successful in finding the type of day care they prefer. Those who prefer center care are consistently more successful in finding it than those who prefer family day care.

Two efforts were made as part of this grant to determine parents' satisfaction with the County subsidized day care system. The parent satisfaction survey conducted in January 1983 indicated a high level of parent satisfaction. Ninety-six percent of the respondents were "very" or "mostly satisfied". In January 1985, four focus groups were conducted with a total of 35 participants with the purpose of obtaining concrete suggestions for improving the day care system. Although the focus groups did reveal a high level of satisfaction with the quality of day care, many clients seem to have encountered a great deal of difficulty with some of the procedural aspects of CEVS. Almost everyone interviewed had trouble finding out (from County workers) about the existence of this program. The independent investigators who conducted the focus groups reported that the overwhelming sentiment of most (around 80 percent) of the respondents was that "Some County workers* are OK, and some are quite positive and supportive, but you run into lots of bad attitudes." Hennepin County administrators are currently reviewing these investigators' recommendations for improving the day care application process.

- What has been the impact of the change to CEVS on the entire day care system?

When inflation is taken into account, the cost to Hennepin County of subsidized day care for central eligibility clients was significantly reduced between 1981 and 1984. The total cost per child was reduced by 26.7 percent. These cost-savings were a result of the drop in the FIDCR Standards, the wider use of family day care, the greater use of lower cost day care centers, and some policy changes that resulted in cost-savings. In actual dollars, the average cost per child per month was reduced by almost $10.00 between 1981 and 1984.

In the two surveys done in 1981 and 1983 that were intended to measure the need for day care among the general population of Hennepin County by following up users of a

*The reference to County workers included direct service workers throughout Hennepin County, not just those in the Day Care Verification Unit.

day care information and referral service, it was found that the needs had not changed significantly in those two years.

An analysis of the number of children in day care between 1981 and 1983 shows that the number of children subsidized through CEVS grew steadily between June 1981 and June 1983. At that time the County, because of this growth, was forced to consider some way of controlling costs and implemented a freeze on training clients. This freeze caused a precipitous decline in training clients in July 1984. The number of training clients began to increase once the freeze was lifted. The report suggests that the ability of Hennepin County to adjust its policies to fine tune the demand for day care has been enhanced by the implementation of CEVS.

- Do Hennepin County's clients who use day care to obtain training find jobs and get off AFDC?

The design of the outcome study of clients in training did not allow any conclusions about the cost-benefits of subsidized day care. However, this study did find that 48 percent of the clients had obtained jobs within three months of termination of their child care subsidy as well as a significant relationship between working and independence from AFDC. In addition, 100 percent of those clients who obtained employment stated that the training which was made possible by the day care subsidy was helpful to them in gaining employment.

CONCLUSIONS

Although the transition to a voucher system has had its problems--the rapid increase in demand beyond Hennepin County's resources, the decline in enrollment among some of the old major contract centers, and some consumer frustration with the application process, the report concludes that Hennepin County's day care subsidy system, as it currently operates, is a much healthier system now than it was in 1981. More people are being served for comparatively less money. Consumers are satisfied. Fewer providers are totally dependent on Hennepin County. Clients, because of the day care subsidy, are able to receive training that enables them to obtain jobs. There are no severe shortages of any one type of care.

In conclusion, the change to a voucher system has been a very positive experience for Hennepin County.